

State of Rhode Island UHIP IAPD-U

FFY 2020 Q3 and Q4 Draft Submission

January 2020

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Rhode Island Unified Health Infrastructure Project (UHIP) Medicaid Eligibility and Enrollment (EE)
Implementation Advanced Planning Document (IAPD)
OMB Approval Number: 0938-1268

Name of State: Rhode Island

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Brief Description of Latest Version Additions/Changes/Deletions:

Rhode Island is requesting continued funding from the Centers for Medicare and Medicaid Services (CMS) and the Food and Nutrition Service (FNS) to support the continued development and operations of RIBridges which provides benefit access for more than 300,000 Rhode Islanders. This submission includes updated project, budget, and cost-allocation details.

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1-Executive Summary

In Rhode Island, the Executive Office of Health & Human Services, the Department of Human Services (DHS) and HealthSource RI (the State's health exchange), collectively "the State," are charged with promoting health, nurturing quality of life, and supporting our most vulnerable residents by preserving and improving access to quality healthcare, and ensuring efficient, effective, and timely delivery of services. The State's work on the Unified Health Infrastructure Project (UHIP) is an important part of these efforts, and our highest priority has been ensuring Rhode Islanders have timely access to benefits.

Federal fiscal 2019 (FFY 2019) was a watershed year for UHIP, as we made significant progress and are now enjoying the benefits of this powerful tool. Unlike the system recovery years of FFY 2017 and 2018, this past year was marked by significant achievements. Backlogs have dropped, timeliness has improved across programs and system incidents are at their lowest. Most encouraging, is knowing that FFY 2020 will bring even greater advancements as the technology continues to improve and the State's steadfast commitment to strong project governance, IT and agency operations, and vendor oversight and administration will remain a priority.

Detailed in this Implementation Advanced Planning Document Update (IAPD-U) for FFY 2020 is the State's proposal for continuously improving the business and technical functions of RIBridges — the UHIP technology platform — as well as project management through administration and process. The document also includes results from FFY 2019. Among the many FFY 2019 highlights are:

- Significant improvements in the execution of Medicaid terminations and renewals, Supplemental Nutrition Assistance Program (SNAP) timeliness and benefit accuracy, notice accuracy, and Qualified Health Plan (QHP) open enrollment;
- Technical improvements in infrastructure, maintenance, and process, as well as increased security and privacy capabilities;
- Administrative process improvements in the areas of financial management, contract management, and overall management of the system integrator (SI); and
- Process improvements related to governance and accountability, joint triage, incident management, test management, and prioritization and annual planning.

Q1 Update

Moving forward, the State is focused on ensuring that RIBridges is fully operational and compliant. In service to these priorities, the State delivered three Major Releases (March, June, September) as well as monthly Patch Releases as part of FFY 2019. The team also delivered regular Information Management (IM) releases as well as delivered on numerous technical upgrades. Looking forward, the State has three additional major releases scheduled for FFY 2020.

The first Major Release was deployed successfully on December 13th, 2019 (RI Bridges R7.28) and included the delivery of 24 Business Requirement Requests (BRRs) and 188 problem tickets. This was one of the most technically challenging releases for RIBridges with the implementation of many complex enhancements which included requirements that involved detailed analysis to understand the complicated workflows and impacts to customers and to the service delivery teams. Across all three releases, the key areas of focus during FFY 2020 will address the following improvements:

- Implementing RI 1115 waiver priorities;
- Implementing Long Term Services & Supports (LTSS) program improvements;
- Improving Medicaid eligibility functions;
- Improving Supplemental Security Income (SSI) processing;
- Implementing Sherlock choice capabilities;
- Improving Supplemental Nutrition Assistance Program (SNAP) functionality, including making final improvements to ensure that household composition is accurate;
- Automating Department of Human Services (DHS) workflow functionality;
- Refining our approach to ex-parte;
- Improving notice accuracy; and
- Addressing audit findings.

The functionality delivered with the December Release included some key changes to the Child Care Assistance Program (CCAP) to enable the automation of provider payments and to allow claims to be established for overpayments. These enhancements will eliminate many manual workarounds and streamline the claims process.

Other key improvements delivered in December included the RI 115 waivers which created an eligibility category for special needs children, completing ex-parte requirements according to the Centers for Medicare and Medicaid Services (CMS) Mitigation Plan and giving case workers and the State quality control (QC) team access to historic eligibility information and an audit trail of all case actions. Changes were also made to allow RIBridges to be automatically updated with the latest disability information as deemed by Social Security Administration (SSA), increasing the accuracy of case data and eligibility determination. For Emergency Medicaid, changes were made to limit coverage for emergency coverage to aliens to only special circumstance.

Also delivered as part of the December Release were enhancements to ensure RIBridges is in compliance with SNAP federal rules for handling of data from interfaces which may provide unclear Information as well as to improve accuracy of data and alignment with application when reporting on SNAP recipients in the Food and Nutrition Service 388 report (FNS-388).

The LTSS Roadmap calls for the implementation of focused improvements across FFY 2019 and FFY 2020. The upcoming release in March 2020 includes a major design changes to the Worker Inbox and will also include other LTSS changes including notifying clients to acknowledge their request to withdraw their application before being determined LTSS eligible, and for cases with ongoing eligibility, a client's LTSS eligibility will be closed if they withdraw their request for benefits and wish to be evaluated for other types of Health Coverage. A special project team has been assembled with the System Integration (SI) vendor for LTSS. The team continues to meet with Leadership on a weekly basis for an extended review of the status of key deliverables and milestones, risks and issues and other critical points of discussion. Ongoing planning surrounding the March Release is underway in order to prepare the organization for the rollout of the additional LTSS functionality.

In addition, numerous technical improvements are planned for FFY 2020. In Q1, the team completed migration to an updated storage device (SAN) as well as the network segregation activities planned as a part of the baseline release plan. For the remainder of FFY 2020, technical improvements will include

updating the Oracle database, updating the security monitoring intrusion detection systems (IDS) and intrusion prevention systems (IPS) devices, and an IBM Security Access Manager (ISAM) update.

Clearly, the continued enhancement of UHIP is not solely about technical implementation. The State is committed to a strong workforce and management structure. Furthermore, the UHIP team continues to be focused on strong project governance, IT and agency operations, and vendor oversight and administration. These efforts have already resulted in improved outcomes and more efficient project operations. One of the key deliverables in October was the creation of the Release Management Plan which documented all of the best practices that have been implemented across the project to ensure all releases are managed consistently to a high standard of quality leading to predictable outcomes for the business. Other key areas of progress in process and governance maturity include user acceptance testing (UAT) regression test automation, establishment of the performance working group, and the launch of problem management 2.0. Each of these are detailed in the sections that follow. Lastly, in late 2018, UHIP leadership engaged in a budget review exercise that saved \$28.6M over 18 months with a 24% reduction in contract costs by better aligning the budget to project priorities. UHIP leadership engages in monthly budget reviews to ensure the project is on budget and to reduce costs as project priorities allow. Since the July APD submission, the FFY 20 budget has been reduced by nearly 11%, which is equivalent to \$9.0M.

Project administration and processes continue to be honed in the following areas:

- Improving enforcement of contract requirements and overall vendor management;
- Recognizing efficiencies of the Operational Control Committee (OCC);
- Recognizing efficiencies of the Technical Change Control Board (TCCB);
- Establishing a performance management group;
- Improving the problem management function; and
- Realizing efficiencies with the Data Review Board (DRB).

Through this IAPD-U, Rhode Island is requesting continued funding from CMS and FNS to support further project improvements and RIBridges completion efforts. Included in this submission are related budget and cost-allocation planning details.

2-Results of Activities Included in the IAPD

FFY 2019 has been a year of increasing program and system achievements for UHIP. UHIP is a complex project that supports the ongoing development, maintenance, and operation of RIBridges, the integrated eligibility system for more than 15 health and human service programs in Rhode Island. Currently, more than 300,000 Rhode Island residents rely on the State to accurately and efficiently provide Medicaid services, food assistance, child care subsidies, health insurance, LTSS, and other vital social services through this system. It is critical that the resources and level of effort are maintained in a way that allows for the full and proper maturation of this project.

The following diagram provides a high-level overview of the historical and projected phases of UHIP implementation:

Table 2a. Rhode Island UHIP System Timeline (FFY basis)

2012 - 2013	2014 – 2015	2016	2017 – 2018	2019	2020	2021
Phase I Design and Go Live	Phase I System Stabilization and Phase II Design	Phase II Go Live	Phase II Turn-around and Stabilization	Phase II Delivery of Baseline Release Plan	Phase II DDI for Program Priorities and M&O	Phase II DDI for Program Priorities and M&O

Phase I of UHIP created Rhode Island’s health exchange, HealthSource RI (HSRI) and established MAGI Medicaid eligibility capabilities. This phase was central to improving access to health insurance coverage for Rhode Islanders and achieving one of the lowest uninsured rates in the country at 3.7%. Medicaid expansion through RIBridges has reached 73,773 covered lives as of May 31, 2019. Based on the Kaiser Family Foundation’s review of the Census Bureau’s American Community Survey, Rhode Island is ranked second in the nation for children’s health coverage, with 98% of children insured. The State continues to prioritize and make progress toward strengthening access to healthcare and other critical support programs. As of January 2nd, 2020, total enrollments (medical and dental) for FFY 2020 reached 34,645, marking another successful open enrollment period and an increase over the previous year.

Phase II of UHIP, which includes the launch of the full RIBridges system and development and execution of a robust turn-around strategy, has been a significant undertaking. Over the course of Phase II, the State has made substantial progress in strengthening project governance, IT and agency operations, and vendor management and administration. Agency operational capabilities have been strengthened through improvements in technology and business processes, while, at the same time, vendor administration and oversight has been moved forward through the use of contracting tools such as key performance indicators (KPIs) and service level agreements (SLAs). As a result of this work, timeliness and accuracy have increased, backlogs have decreased, and there has been a significant reduction in technical defects. FFY 2019 has been a year of improvement and growth for the project and has laid the groundwork for bringing many priority system components near completion. We have consistently met or exceeded most of the KPI through ongoing sampling and rigorous reviews used to identify potential issues. As issues are found, we’ve worked to deliver fixes as part of our monthly patch releases. As a result, the positive trends are expected to continue in CY 2020. We also expect to continue inspection of random samples for select KPIs as part of our ongoing oversight of performance with the vendor.

FFY 2019 and Q1 FFY 2020 Program Accomplishments

With the support of our federal partners, UHIP has made significant progress during FFY 2019, and into Q1 FFY 2020. Across the system, the number of defects has decreased, blocked case numbers are down, post-release issues have decreased, and case processing outcomes have improved. The following table provides some examples of improved system issue metrics from FFY 2019 and Q1 FFY 2020:

Table 2b. UHIP Statistics

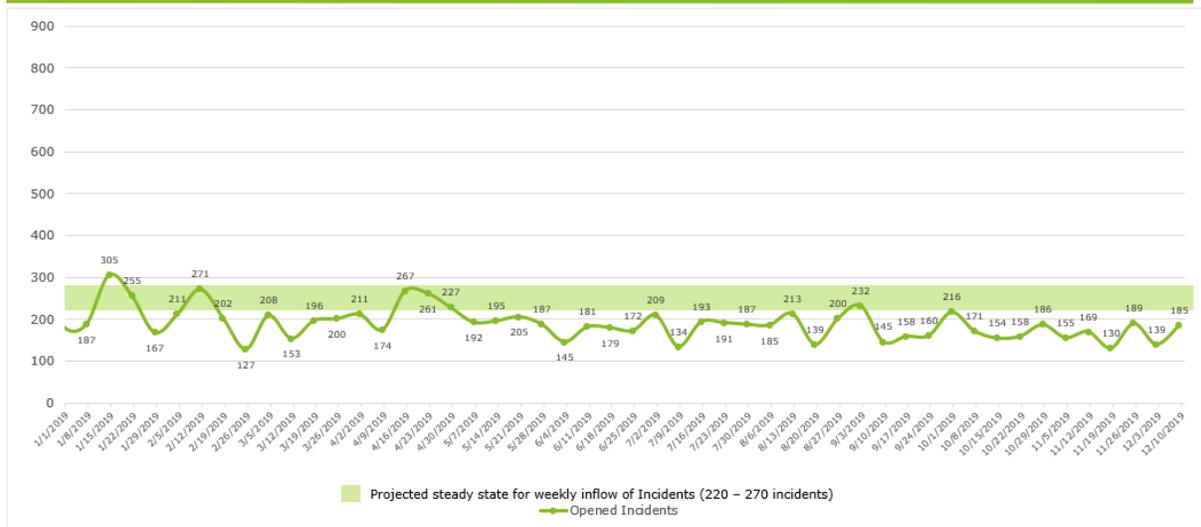
Key Progress Metrics	Current Status
Unresolved System Incidents	Unresolved system incidents have decreased by 89%, from 6,634 in October 2017 to 696 in June 2019. Unresolved system incidents continued to decrease to a low of 177 in December 2019 reaching a 98% reduction since October 2017.
System Incidents Logged	The number of system incidents logged on a weekly basis has decreased from more than 500 per week in February 2018 to less than 200 in May 2019. This positive trend has continued through December 2019 where the weekly incidents logged has been consistently below the 220-270 steady state target averaging only 164.5 since October 1st.
Untriaged Incidents	The number of untriaged incidents has been cut by 85%, from 1,007 in October 2017 to 154 in June 2019. As of December 2019, the number was further reduced to 112 an 89% decrease since 2017.
Known Code Defects	The number of known code defects has decreased by almost 40%, from 1,387 in September 2018 to 869 in June 2019. As of December 2019, the number of known code defects was reduced another 46% just since June. Of the 472 known defects, 68% are scheduled for an upcoming release.

Another key example of the system progress can be seen in the decline of the code fix backlog over the course of FFY 2019 and Q1 FFY 2020. The following chart provides an illustration of the decline in code fix backlog between August 31, 2018 and December 31, 2019. This chart shows a decline from 1,370 items in backlog to a total of 472 by 12/31/19.

Table 2c. System Issues Backlog Trend

Progress to Steady State – 2019
 As of December 9th, 2019 (7:00 AM EST)

Incidents Opened in JIRA Week over Week



Accuracy levels have improved across the programs. Medical benefit accuracy, SNAP and cash benefit accuracy, and QHP accuracy have all been at or above their respective KPI targets since March of 2019. KPI accuracy targets range from 95% to 97%. Please note that State sampling is now being conducted on a rotating basis which is scheduled around known defect fixes. As we’ve transitioned this work to a new resource, we have experienced a slight delay in reporting to allow for knowledge transfer.

These improvements listed above can be tracked to the four major system releases, 27 patch releases during calendar year 2019 (including Q1 FFY 2020). Across these releases, 129 BRRs and 1,225 problem tickets were delivered to production.

The following table provides a listing of KPIs that are currently tracked by leadership. These KPIs highlight some of the most critical system functionality for the project and also illustrate the improved tracking implemented as part of the project governance process.

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Table 2d. KPI Metric Summary

KPI Metric Summary

Draft: For review and discussion purposes only

As of December 11, 2019

Contract KPI	Target	Feb	March	April	May	June	July	Aug	Sept	Oct	Nov
1a DHS SNAP and Cash Benefits Timeliness	<= 2	0	6	2	3	4	4	1	0	2	1
1b Medical Benefits Timeliness	<= 2	0	1	0	0	1	0	0	0	1	0
1c SNAP and Cash Benefit Accuracy	95%	RIW – 91.5%(D)	RIW – 92.03%(S)		RIW- 95.65% (S)	RIW - 91% (S)	RIW – 92.5% (S)				
		SNAP – 94% (S)	SNAP – 97% (S)	SNAP- 98% (S)	SNAP- 97% (S)				SNAP – 95% (S)		
1d Medical Benefits Accuracy (1/2)	97%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%
1e Medical Benefits Accuracy (2/2)	95%	99.10%	98.65%	99.21%	97.13%	99.18%	98.01%	98.39%	98.25%	97.43%	98.05%
1f QHP Eligibility and Enrollment Accuracy	97%	98% (S)	99% (S)	97%(S)	98%(S)	98% (S)	100% (S)	99% (S)	99% (S)	100% (S)	
2a Worker Portal Application Processing	98%	99.51%	99.82%	99.76%	99.78%	99.65%	99.79%	99.62%	99.19%	99.50%	99.64%
2b Self Service Portal Application Processing	98%	99.67%	99.85%	99.85%	99.74%	99.67%	99.73%	99.54%	99.63%	99.48%	99.49%
3 Client Notice Accuracy and Timeliness	98% (avg)	85.7%	94.5%	97.5%	96.8%	98.8%	99.4%				
3.1 Accuracy	98%	72.7% (S)	89.9% (S)	96.5 (S)	94.5%(S)	98.3% (S)	99.3% (S)			Under Review	
3.2 Timeliness	98%	98.7%	99.1%	98.48%	99.01%	99.30%	99.53%	99.15%	99.48%	99.76%	99.49%
4 Legal and Regulatory Requirements	98%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%

Key: ● Met ● In Progress ● Outstanding Risk or Consideration of note ● Measure Based on Reduced Sample
For QC KPIs (1c, 1f, 3), (D) signifies a Deloitte measurement and (S) signifies a State measurement

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Note: November figures are preliminary internal measures

In order to further highlight the success experienced in FFY 2019 and Q1 FFY 2020, the following examples are provided to demonstrate certain key accomplishments. These results have been broken down into two major categories: (1) RIBridges system improvements and enhancements; and (2) enhanced project management. Each category contains two subcategories as shown in the following table:

Table 2e. Rhode Island UHIP Project Framework and Key FFY 2019 and Q1 FFY 2020 Accomplishments

Rhode Island UHIP Project			
RIBRIDGES		Project Management	
Business Functions	Technical (System Functions)	Administration	Process
HSRI Open Enrollment Success	Infrastructure, Maintenance, and Process Improvements	Improvements in Financial Management	Improvements in Governance & Accountability
Improved SNAP Functionality	Security and Privacy Improvements	Improvements in Contract Management	Implementation of Joint Triage
Medicaid Termination and Renewal Improvements		Improvements in Management of System Integrator (SI)	Improvements in Test Management
Notice Accuracy Improvements		Improvements in Enterprise Project Management	Improvements in Prioritization/Annual Planning

LTSS One-List Adoption and Improved Patient Share Calculations			Improvements in Technical Operational Incident Management
Implementation of CCAP Tiered Rates and Streamline Payment Processes			Improvements in On Time Delivery of Reporting Releases
Implement Ex-Parte Enhancements			Enhanced Operational Post Release Readiness Planning and Execution
Implemented RIW Policy Change and SNAP / RIW Interims			Improvements in Scheduling and Execution of Batch Operational Activities
Improved Task Management within Worker Inbox			Planning and Improved Governance of Technical Upgrades
Admin Override Tool			

RIBRIDGES – Business Functions (technology enabled)

FFY 2019 RIBridges business functions results are represented by examples of operational outcomes. The following areas provide evidence of how RIBridges system improvements have driven improved business outcomes during FFY 2019. HSRI open enrollment, improved SNAP timeliness and benefit accuracy, Medicaid termination and renewal improvements, and improved notice accuracy have all benefited from system enhancements and defect fixes.

HSRI Open Enrollment Success

HSRI’s open enrollment period spanned from November 1, 2018, to December 31, 2018, for the calendar 2019 coverage year. System fixes that occurred late in FFY 2018 and early FFY 2019, along with strategic open enrollment planning efforts, made a significant impact. The resulting individual market retention levels were 70% and total enrollment reached 33,005, a substantial improvement over the two previous years. The increased retention levels are a testament to improved system functionality during the open enrollment process and to the overall services provided by HSRI. HSRI saw a 22% increase in auto-renewals and a 6% increase in enrollment over the previous year. Additional evidence of open enrollment success can be seen in the contact center activities. Activity reports showed a 29% decrease in calls to the contact center compared to the prior year open enrollment.

HSRI’s open enrollment periods for 2019, and 2020 saw additional process and system improvements over 2018. As of January 2nd, 2020, HSRI has confirmed 27,356 customers for 2020, a slight increase over the same time in 2019. With 34,645 customers having selected a plan for 2020, HSRI is having another very successful open enrollment period. In addition, call volumes in the contact center continue to be lower than in previous years which is another positive trend for HSRI.

Improved SNAP Timeliness and Benefit Accuracy Levels

Improvements in SNAP timeliness and benefit accuracy can be illustrated in two major categories, program metrics and KPI metrics. Program metrics are focused on the internal quality measures such as application processing speed, number of overdue applications, number of unnecessary terminations, and benefit accuracy measures as defined by quality control. KPI metrics are those applied to the SI vendor as described in Table 2d. above. SNAP and Cash Benefit timeliness in the context of KPI 1a, refers to the ability to complete run cycles within 24 hours of the scheduled run time. Accuracy is measured by selecting samples and calculating benefit amount accuracy.

With regards to program metrics, the current success of improved SNAP timeliness has been a two-year undertaking that culminated in a greater than 97% success rate in the timely processing of applications over calendar 2019. The State achieved 97.4% timeliness in January 2019, which was a significant improvement from a previous rate of 56.5% in November 2017 (as measured in accordance with Gemmel v. Hawkins). While the number of applications not timely processed represents less than 1% of Rhode Island's total SNAP population (for the month of May 2019, the number of untimely applications was 88) the State remains focused on building upon this achievement timeliness. Additionally, overdue SNAP applications have decreased by 90%. The timeliness of SNAP renewal processing has also improved over the past year, resulting in fewer unnecessary terminations. Finally, accuracy levels appear to be improving as releases have seen User Acceptance Testing (UAT) defect rates drop below 5% and indicators such as redetermination efficiency rise above 90%.

KPI measures which identify system related accuracy issues have shown the most improvements with regards to SNAP benefit accuracy levels. SNAP and cash benefit accuracy levels rose above the KPI target threshold in March of 2019 and have remained at or above the target since that time. The improvements are due in large part to system releases and patches during late FFY 2018 and early FFY 2019. Please note that State sampling of KPIs is now being conducted on a rotating quarterly basis.

The UHIP team has also worked closely with FNS to resolve outstanding compliance issues related to "Claims, Collections & Recovery Unit" (CCRU) functionality along with federally required reporting. DHS has worked on a pilot implementation of CCRU with the assistance of FNS. With the successful completion of the pilot, DHS will be positioned to participate in Treasury Offset Program (TOP) in the coming tax year. Recovery efforts are currently suspended due to pending litigation; however, once this is resolved, DHS will be prepared to work with FNS to finish the 2nd pilot and go-live with full CCRU functionality.

Medicaid Terminations and Renewals

Medicaid terminations and renewals were a significant area of focus during system releases and patches in early FFY 2019. The results of these efforts are evident in the KPIs that are currently tracked monthly. For example, renewal notice generation without manual intervention has risen consistently above 98% compared to a target of 95%. June 2019 was a key month with regards to Medicaid terminations as it marked the point at which invalid terminations (between the manual notices and the system issues) fell below 5%. Achievement of the 5% threshold triggered the end of the Medicaid termination interim business process (IBP). Additionally, withheld renewals have fallen to zero during the spring of 2019 from a high of 693 in August of 2018. The State expects these KPIs and others relating to terminations to continue to show improvements and to maintain the new standards that have been set.

Notice Accuracy Improvements

Notice accuracy is critical for proper communication with individuals seeking benefits and services. In addition, it is an important compliance element for meeting both federal and state requirements. The following list contains a few examples of the many updates that were made to notices during FFY 2019:

- The Benefit Decision Notice (BDN) and the Interim Report Form were updated to properly inform Able-Bodied Adults Without Dependents (ABAWDs) of the work requirements, time limits, and exemption criteria. Standalone notices were also created to notify ABAWD recipients of the requirements.
- Notices and certification materials were translated into Spanish and Portuguese, as required.
- Notices were updated to provide a clear certification period end date.
- A recertification reminder notice was created to remind recipients to complete the recertification process, or their case will close.
- The BDN was updated to properly inform households of a change to their SNAP benefit amount and the reason for the change.
- An Age-out notice was delivered in December to meet ex-parte notification requirements
- In addition, 110+ defects were deployed to correct other notice issues including duplicate notice triggers, blank denial reasons, outdated citations and other cosmetic changes

Benefits of these changes can be seen in the measurement of the contract KPI related to notices. Most recently, notice timeliness is currently at 99% and client notice accuracy has improved throughout 2019 from 69.3% in January to 96.5% in April and 99.3% in July. In addition, it is expected that these accuracy levels will continue to improve as defects continue to be corrected in upcoming releases. Notice accuracy is of critical importance to the State and as such has been written in contract amendment 47 with the SI, Deloitte, as a KPI. The Notice Accuracy KPI will continue to be sampled and reviewed on a quarterly basis.

LTSS One-List Adoption and Improved Patient Share Calculations

The LTSS One List is another key piece of functionality that is being delivered in phases beginning December 2019. The purpose is to provide a holistic view of the LTSS caseload at member, segment, and month level to enable EOHHS to burndown the LTSS escalation backlog. It will be delivered in the form of two database tables, which incorporates data from RIBridges, Medicaid Management Information System (MMIS), and Customer Service Management (CSM) system. These tables allow EOHHS to build custom views to meet business needs, such as researching a case, comparing interim payment information, answering provider questions, analyzing workload, and more. Enhancements were made to the system to correctly compute LTSS patient share calculations and to remain compliant with federal law. Home and Community Based Services (HCBS) beneficiaries are not liable to pay any patient share amount for retroactive months while receiving LTSS for the first time on a respective case. The patient share amount for all such months will now be marked \$0 within RIBridges. The patient share will only be applied prospectively following the adverse action date. In addition, Cost of Care will no longer be pro-rated when an individual's transfer penalty ends mid-month.

Implementation of CCAP Tiered Rates and Streamline Payment Processes

The system is now generating CCAP provider payments based on the Steps / Star ratings. DHS workers are no longer required to manually enter provider rates in the system as the ratings will be automatically

updated using a file received from licensed centers. In addition, functionality was added to allow claims to be created to recover overpayments made to providers, to post payments against claims, to recoup overpayments from future payments as well as to identify delinquent providers to refer to collections.

Implementation of Ex-Parte Enhancements

The system was enhanced to complete an eligibility determination for other Medicaid categories for individuals determined ineligible for Medicaid prior to termination leveraging existing information in the system and avoiding unnecessary and repetitive requests for information from families which can cause eligible individuals and families to lose coverage. Until the redetermination of eligibility is disposed through the ex-parte process, the current eligibility will continue to remain open. This provides the client a reasonable opportunity period to return any required information during which the coverage will not be terminated. Notifications will also be sent to clients as required by policy to inform them regarding the ex-parte process.

Implemented Rhode Island Works (RIW) Policy Change and SNAP / RIW Interims

The RIW Time Clocks statutory change was implemented in December 2019 to eliminate the 24-in-60 month limit. In addition, the system now automatically processes SNAP / RIW interims when a “No Change” is reported by the citizen.

Improved Task Management within Worker Inbox

A great deal of work has been done in close collaboration with the vendor to analyze task processing within the Worker Inbox. Through this analysis, improvements have been made to ensure tasks are being created and reported accurately. In addition, the team identified and corrected scenarios where tasks were not being auto-closed appropriately. Work will continue into early CY 2020 to further refine task management within the Worker Inbox to improve the associated reporting.

Admin Override Tool

In the last 2 years, there have been over 8,000 cases that have been manually corrected in the system due to system, worker, or carrier issues that impact customer benefits and coverage for HSRI enrollees. In December 2019, an admin override screen was delivered to allow updates to be made at the front-end to ensure customers will have correct and timely benefits. This significantly reduces the amount of time (Deloitte and State) being spent on correcting discrepancies in the system. In addition, the State will save approximately 100-200 hours per month within the monthly Service Request budget. These hours can be applied to other Service Requests or Small Enhancements going forward.

RIBRIDGES - Technical (System Functions)

FFY 2019's key technical accomplishments can best be broken down into two categories: (1) infrastructure, maintenance, and process, and (2) privacy and security.

Infrastructure, Maintenance, and Process

Infrastructure, maintenance, and process collectively encompasses ongoing maintenance and operations of all UHIP-related infrastructure, including all hardware devices (servers, storage, network devices, etc.)

and non-application code software products (operating systems, commercial off-the-shelf (COTS) products, etc.). Over the course of FFY 2019, a wide range of UHIP infrastructure devices, software, and processes have been added to or significantly improved. Key areas of accomplishment include: N-1 patching for non-application code software items; major version operating system (OS) upgrades; an upgraded JAVA version for the RIBridges application; and an upgrade to the UHIP data visualization platform (Tableau).

During the initial UHIP Phase II go-live, software and operating system patching was not prioritized due to RIBridges system challenges and other priority items. As a result, the software used in the UHIP infrastructure had fallen multiple versions behind. During FFY 2019, however, the system was effectively updated to N-1 status. In other words, UHIP software platforms were updated to either the latest available patch version or version immediately prior to that, putting the system on more stable footing.

In June 2019, UHIP completed the second of a two-phase change out of the infrastructure's OS, the platform on which the RIBridges application runs. This change out was critical to ensuring that the application could continue to run securely and on a platform that is readily supported by our third-party vendor, Red Hat Enterprise. The old OS would have reached end of life in December 2019.

The upgrade from Java 6 to Java 8 began in October 2018 and finished in March 2019 with the completion of patch and security compliance. This update was necessary as Java 6 is no longer a supported version and thus had reached the product end life. Version 8 will provide the security and support structure that is needed on a going forward.

February 2019 saw the upgrade to a new version of the data visualization platform, Tableau. This platform is used for internal dashboarding with data coming from the RIBridges system, and is vital for program operations. The old Tableau version had reached the end-of-support. In addition, the UHIP external firewall transitioned from the old system, which had reached the end of its useful life, to a new firewall capable of providing proper protections and security functionality. Furthermore, a dual internet circuit was implemented in February 2019 that allows for automated redundancies with regards to UHIP site access. These redundancies provide critical protection for users attempting to reach the site and eliminate laborious workarounds that would be needed in the event that a circuit went down.

During Q1 of FFY 2020, two additional upgrades were completed. First, the baseline release plan's network segregation activity which provides added security and ease of maintainability was completed in October 2019. Secondly, a significant upgrade and migration to a new storage device was completed over the course of several technical maintenance windows culminating in its completion for the production environments in October of 2019.

Each of these infrastructure and software upgrades were made possible by the implementation of standard technical and infrastructure maintenance windows and change control processes. In prior FFYs, stabilizing the RIBridges application code meant that the technical teams focused on supporting development, testing, and release of updated versions of the RIBridges application, and, as a result, there were not enough technical maintenance windows.

As the RIBridges application runway stabilized and the code release frequency decreased, establishing planned technical and infrastructure maintenance windows (approximately two per month) became possible. During these windows, the team completed the items mentioned above, as well as over 110 technical maintenance activities (tracked as “UHIPOPS” tickets in JIRA, our application lifecycle management tool) ranging from installing new hardware to patching UHIP software.

UHIP also successfully completed its annual disaster recovery test in October 2018. Although this testing is performed on an annual basis, the successful results of the testing are viewed as an affirmation of the continued focus on back-up processes.

Finally, in Q1 of FFY 2020, UHIP completed another successful annual disaster recovery test. The test results demonstrated a Recovery Point Objective (RPO) of 5 minutes and Recovery Time Objective (RTO) of 8 hours, far below the respective targets of 15 minutes and 48 hours respectively. Additionally, for this year’s test, the scope was expanded to include more realistic business operations including access to the system (hosted on the DR environment) via laptop over the internet and including Electronic Benefits Transfer (EBT) card printing.

Security and Privacy

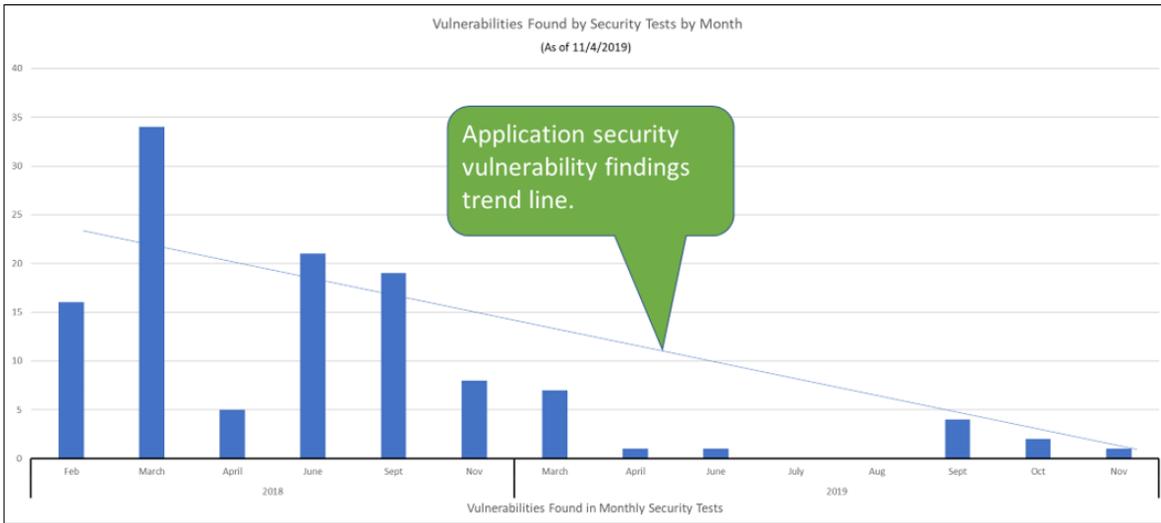
Process Improvements: Secure-Software Development Life-Cycle (S-SDLC)

The risk to UHIP’s applications has been significantly reduced during FFY 2019 by the establishment of the S-SDLC process and team. The team consists of members from development and operations, as well as UHIP’s security specialists. The team meets regularly to discuss application security issues, especially any new vulnerabilities uncovered through regular security testing, both static and dynamic.

The team has spent considerable effort in exploring permanent application code fixes affecting all applications. An example of this effort is the near elimination of Cross Site Scripting vulnerabilities using common validation techniques implemented throughout UHIP’s applications. The overall number of findings have been sharply reduced, and the fix rate matches and exceeds the discovery rate. The average time to close is now 7% of what it once was—current average days to close is 23 days, as opposed to the original 352 days.

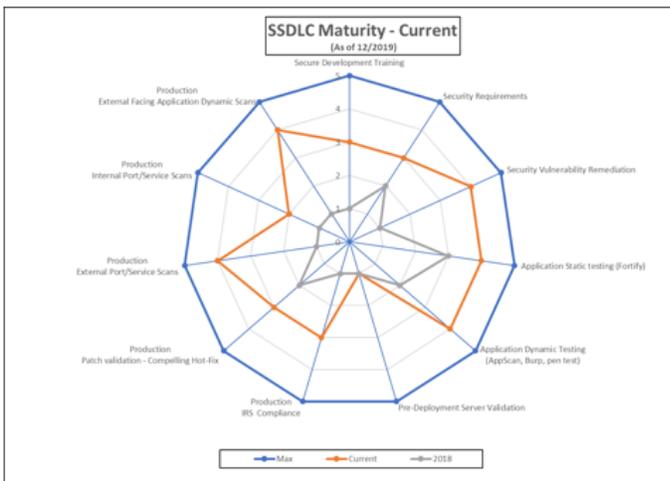
The S-SDLC team has reduced the overall amount of vulnerabilities in UHIP’s application with the use of common code, secure components, and libraries. This is well demonstrated by Table 2f, which shows the amount of vulnerability findings uncovered by regular static and dynamic testing. The current average is one finding per security scan as opposed to the original of 35 findings per security scan.

Table 2f. Security Test Results by Month



UHIP’s Security Team has defined 11 domains specific to UHIP’s environment within the S-SDLC framework. Each domain has five levels of maturity, using Building Security in Maturity Model (BSIMM) and National Institute of Standards and Technology (NIST) as models. The current maturity of each domain is demonstrated in Table 2g below. The S-SDLC program has raised the maturity of eight domains from where they were in FFY 2018. The team is exploring the introduction of new tools such as QRadar vulnerability manager to automate many of the testing tasks such as external dynamic application scanning, and external and internal service scanning. These security testing tasks are defined as compliance requirements by CMS and the Internal Revenue Service (IRS).

Table 2g. Maturity Level of UHIP Security Domains



- Level 0 – Non existent
- Level 1 – Ad-Hoc/Unscheduled
- Level 3 – Repeatable/Scheduled
- Level 4 – Managed/Automated
- Level 5 - Optimized

UHIP's S-SDLC has created metrics to track the trends and progress of the overall UHIP application security initiative. This is demonstrated by table 2g above representing the use of these metrics. These are a subset of the overall metrics gathered to track the quality of the overall S-SDLC program.

Security and Privacy Program Compliance

The 2019 Authority to Connect (ATC) package has been completed and submitted to CMS. This effort included internal and third-party assessments of security and privacy risk, updates to security plans, and documented actions to address or enhance the policies, processes, and components that support UHIP system security and privacy. The number of corrective activities in this cycle includes one moderate and seven low-risk items to address. This is an improvement to the 2016 ATC, which required the immediate correction to 18 high-risk items and actions to address 50 moderate and low-risk items.

Systems Security

The technical operations team has completed upgrades to the firewall, operating system, and several system components to improve the security status of the system. Quarterly security scans confirm that patching schedules are in place and configurations are in compliance with IRS requirements. Details of these technical implementations were discussed above.

Planning and Improved Governance of Technical Upgrades

The charter for the Architecture Review Board (ARB) was reviewed and refreshed to re-establish the ARB as the primary governance board for overseeing the architecture of RIBridges including planning technical upgrades, reviewing technical designs of new functionality and enforcing technical standards. Of note, this refresh included the addition of a quarterly code scan review to ensure that code quality improves overtime (with each release). In addition, the Technical Change Control Board was refreshed to include review and recommendation for all technical changes that also require Change Review Board (CRB) approval. In prior iterations of TCCB, technical changes had already been allocated as a part of the baseline release plan. These changes are then reviewed and incorporated into the overall release runway as part of ongoing release management governed by the RPC.

Project Oversight – Administration

In FFY 2019, we have enhanced project administration in four areas:

- Improving financial management processes;
- Improving contract management processes; and
- Improving processes for management of the system integrator; and
- Improvements in Enterprise Project Management.

Financial Management

The key goal for financial management has been to ensure that UHIP project leadership has the information it needs to engage in periodic reviews of project demands, current and planned capacity, and current budget status, as well as plan for future budgetary needs. The finance and administration team has sought to improve processes to review and update cost allocation to keep in line with federal

requirements and evolving project needs. In addition, controls have been put into place to ensure timely invoice submission, review, and payment.

Invoice Processing

To facilitate monthly budget to actual reporting, the State aligned vendors, contract managers, and administrative staff to establish a cadence for reporting monthly contract expenditures. We also created the invoice tracker which tracks monthly expenditures by reporting category and allows for reporting against budget. The invoice tracker is a robust tool that shows invoice costs by UHIP/non-UHIP, DDI/M&O, by vendor, by month. The invoice tracker has been updated since July to account for the unique tracking of resources budgeted through Knowledge Services (KS). This data is then imported into the State's budget and cost allocation tool to produce reports against the budget. The State has finalized a standard monthly report format.

UHIP Leadership Review of Budget and Project Demands

In December 2018, leadership engaged in a budget review exercise and was able to align the budget to project priorities, ensuring adequate resources while cutting costs by \$28.6M over 18 months with a 24% reduction in contract costs. In the fall of 2019, the state continued to review scope and budget of contracts. Since the last APD submission, the budget for FFY 2020 was reduced by \$9.0M.

Cost Allocation

There are two main improvements made to cost allocation processes: (1) the forecast template; and (2) the DDI cost allocation controls.

The State has developed a forecast template that is sent out to personnel and contract managers to forecast monthly scope and expenditures for the relevant time period. The forecast template instructions rely on CMS-approved summary guidance regarding DDI and M&O and captures UHIP/non-UHIP, DDI/M&O programs impacted by service area and by month. These forecast tools are under review and will likely be realigned to a service area-oriented budget instead of the current contract- or agency-aligned system we have today.

The State also successfully transitioned through the expiration of the A-87 Waiver exception. This required a move from lines of code based DDI integrated solution allocation methodology to a development-hours methodology. This new methodology required the establishment of integrated processes between IT Operations and Finance and has seen much improvement in Q2 and Q3 of FFY 2019. The full DDI integrated solution methodology is discussed in Section 10 of this document and has been revised effective January 1, 2020 as a result of coordination between IT Operation and Finance to reflect the program priorities for DDI development hours.

Section 7 goes into more detail on how cost allocation has been integrated into the release planning process. The State has worked collaboratively with Deloitte to set up the business rules for the cost allocation and by leveraging data from JIRA in order to have a single source of accuracy on the status of program hours for past and planned releases, we are able to monitor how we stand as a project against the approved cost allocation. This capability is critical. With this tool, leadership has the information needed to make business prioritization decisions on critical system changes to ensure that the State hits

its cost allocation targets by program. This requires ongoing discussion and analysis (and, at times, difficult decisions) about which business priorities can be met.

The Executive Project Management Office is responsible for the overall governance of the Annual Plan, including ensuring that the cost allocation remains in balance. Any proposed changes to the plan will follow the well-defined governance process as outlined in Section 7, which includes UHIP Executive Committee approval.

Credit Close Out

Deloitte credit accounting has been finalized during FFY 2019. Under the terms of the credit agreements with Deloitte, the State was required to document unanticipated expenditures to trigger Deloitte's application of credits against those services. The State has worked closely with federal partners to provide invoice schedules that show the State has fully expended the credits. In addition to the invoice level documentation maintained by the State, FNS performed a site visit review of the credit accounting during FFY 2019.

Contract Management

Governance

In FFY 2019, the State has been documenting processes and policies related to finance and administration, including roles and responsibilities for procurement and contract oversight and management for UHIP. This has clarified the process, timeline, and party responsible for each step in the procurement process and provided for pilot status reporting to the UHIP contract managers, and the UHIP Finance and Executive Committee. Before the conclusion of FFY 2019, we were working to finalize the project management process to facilitate ongoing reporting.

Contract Manager Roles

Through the course of FFY 2019, the State has implemented a monthly UHIP contract manager meeting to ensure that contract managers are complying with project policies around budget, procurement, and contract oversight. This is a key input for ensuring on a monthly basis that contracts are on track. In addition, all UHIP contract managers are required to hold monthly meetings with their vendors to assess delivery risks and issues, progress to goals, budget concerns and any other contract matters. In addition, the finance and administration team has established procedures with vendors, contract managers, service area leads, and administrators to provide monthly budget-to-actual reporting for leadership review. This process includes ensuring invoices are submitted, reviewed, and processed timely. Invoice data is entered into a tracking tool and the data in the tracking tool is output into the team's budget and cost allocation dashboard to produce leadership reporting.

Management of the System Integrator

IT Governance

Prior to FFY 2019, the State and Deloitte had a governance process in place for running the system, addressing defects, and making improvements. In Section 7 of this document, we go into detail on the

further improvements that were made to IT governance in FFY 2019 and the current state of governance going into FFY 2020. The State's processes have matured in FFY 2019 to better identify business priorities and to drive the work of the system integrator. On the administrative side, we have worked closely with Deloitte to improve processes around contract administration. In addition, we have published a Release Management Plan which documents the best practices being utilized to govern all aspects of release planning and prioritization as well as ongoing release management activities.

Monthly Contract Administration Meeting

The State has a monthly contract meeting with Deloitte in which credits and invoices are tracked, reviewed, and processed. During FFY 2019, these processes were reviewed by the State to ensure that all service areas had a process for review and approval of hours or deliverables, as needed.

Hardware and Software

The State improved hardware and software procurement oversight in FFY 2019. All procurements related to UHIP have been consolidated in a single tracker with budget, actuals, and forecasts identified. The State works through standard governance processes to vet business cases for hardware and software, and, if approved, to schedule according to IT priority.

Contract Amendment 47 (CA47)

The negotiation of CA47 is a major accomplishment by State leadership in ensuring the ongoing success of UHIP, as well as the ongoing improvement of the RIBridges system, at a cost that is responsible to taxpayers. The agreement provides compensation to the State in the form of a payment as well as discounted and no-cost services. In addition, the amendment clarifies Deloitte's service areas and the tools that the State has to hold Deloitte accountable. Warranty obligations are expanded under CA47, and service levels are defined with consequences if targets are not met. Key performance indicators remain in place to ensure compliance.

Improvements in Enterprise Project Management

The Executive Committee, led by the Enterprise Project Management Office (EPMO), continues to meet weekly to provide overall Leadership of the project. The EPMO and the Project Sponsor establishes an agenda and formalizes the meeting materials to ensure key decisions regarding the project are made in a timely manner. Standard agenda topics include the following:

- EPMO updates (includes key project milestones, governance process changes and process improvement initiatives)
- Critical release and schedule updates
- Budget updates (includes forecasts as well as budget-to- actuals reporting)
- Procurement and other contract administration updates
- Key project decisions requiring Executive Committee input

Project Management – Process

Process improvement results from FFY 2019 can be broken into the following major categories: (1) governance and accountability; (2) joint triage; (3) test management; (4) prioritization/annual planning; and (5) technical operations incident management.

Governance and Accountability

During FFY 2019, the State remained focused on ensuring a strong governance model for UHIP, which led to the gains detailed in this IAPD-U. Leadership successfully transitioned to DHS Director Courtney Hawkins and the project management office has evolved to support the UHIP Executive Committee across all functional areas of the project. As work progresses to stabilize RIBridges and achieve compliance, the State will continue to improve the model, where needed, to ensure appropriate levels of oversight.

The following two tables provide an overview of the current governance structure. The first visual—RI IT Governance Structure—provides a detailed view of information flow between the different levels of decisionmakers within the UHIP project. The bottom layer of this chart shows the agency level groups. The middle layer shows the cross functional teams that have been established to facilitate informed decision making. The top layer provides a view of the executive governance group. The second visual provided—RI UHIP an IT-enabled solution—shows how these various governing layers and teams fit within the overall operations of the UHIP project.

Table 2h. RIBridges IT Governance Structure

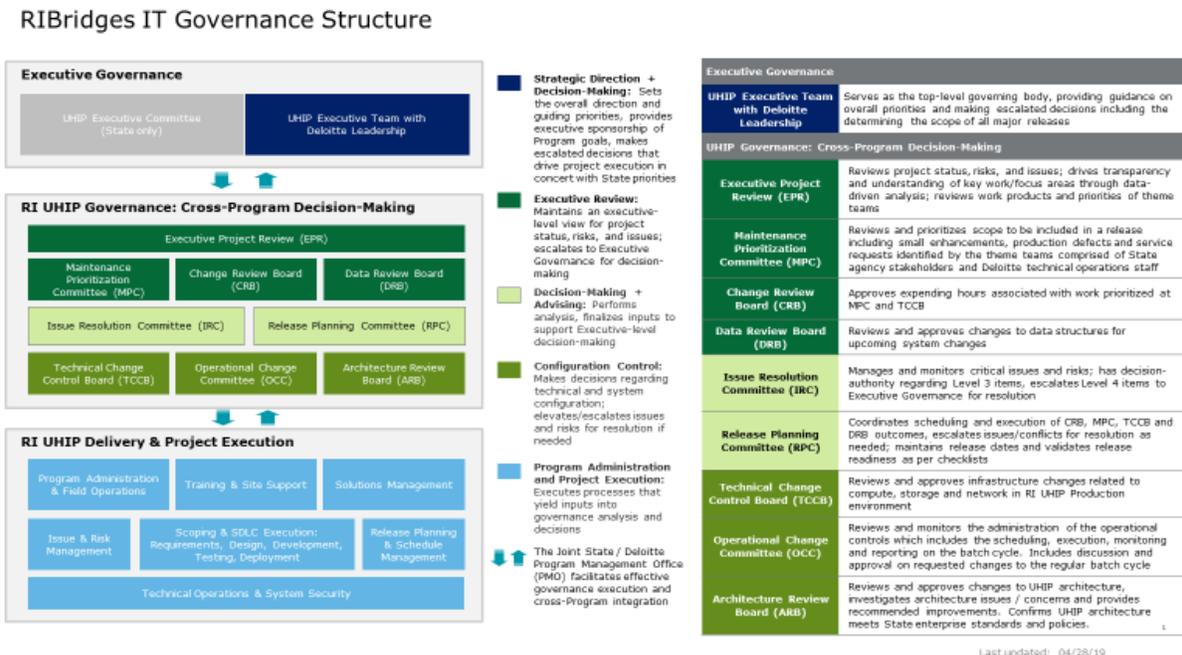
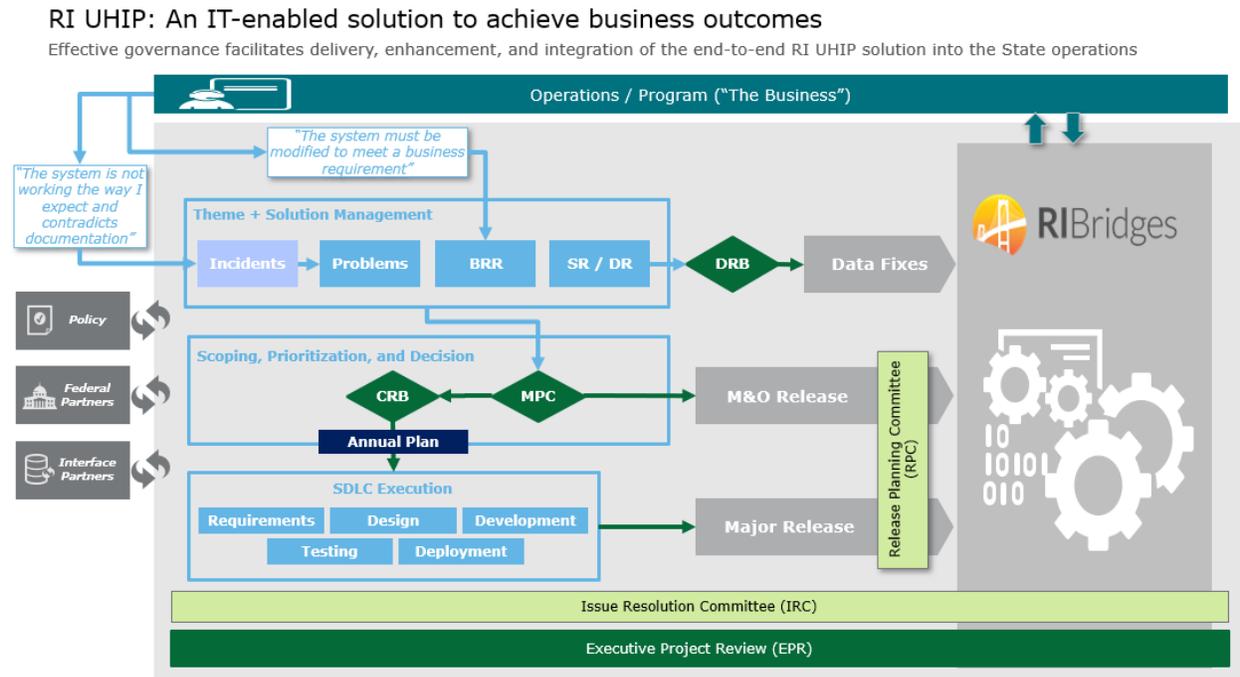


Table 2i. Overview of IT Governance Process



Joint Triage for Application Incident Management

The State continues to work with the system integrator (SI) vendor, Deloitte, to focus on reducing the overall number of incidents as a measure of software release effectiveness, release quality, and system stability. The project has seen a decline in incidents logged per week over time on the project due to numerous stabilization and process improvements, including joint triage. The team is targeting 250 or less incidents logged per week as a projected steady state of weekly inflow. In April 2019, the State logged between 174 and 267 incidents each week. However, since October the average reported incidents has been 164.5 incidents per week which is 34% lower than the incident inflow target. Further, the number of untriaged incidents has been cut by more than half, from 1,007 in October 2017 to 468 earlier in FFY 2019 and 177 in December 2019, with no incident that affects benefits greater than 90 days. The ratio of problem tickets to incidents has also declined, indicating that existing problems are affecting fewer cases. While triaging incidents has contributed to an increase in overall problem tickets, the low number of untriaged incidents provided a solid basis on which to develop the FFY 2020 release plan. As of December 2019, 68% of the defect backlog have been scheduled for an upcoming release.

Test Management

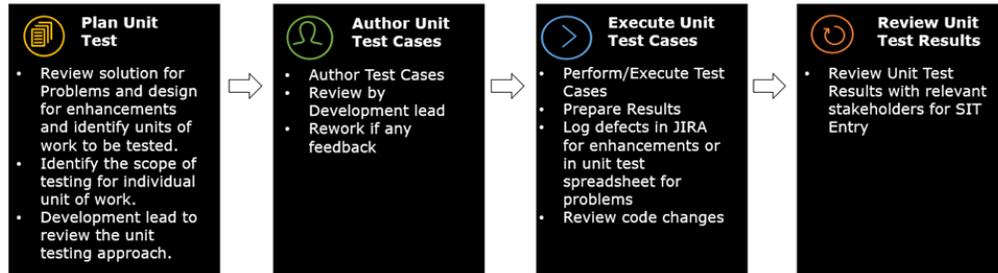
The formal test management plan for UHIP was established in FFY 2018; however, there were a number of areas that were fully implemented during FFY 2019. The following are the most instrumental changes that were instituted in FFY 2019:

1. *Overhaul of unit test process and reporting*

An overview of the unit test process and reporting is shown in the illustration below. This overhaul is important in that it has ensured early detection and clear documentation of

defects in the development process. This has both helped in identifying issues prior to putting enhancements into production and also reduced the number of defects as the SI is now being held accountable for quality of enhancements.

Table 2j. Unit Test Process and Reporting Overview



2. *Updates to testing defect severity definitions and root cause categorizations*

During FFY 2019, the UHIP IT leadership group worked with the SI to update definitions and tracking of root cause categories and issue severity. The root cause standardized categories will be used to track the issues identified as part of the Systems Integration Testing (SIT) and User Acceptance Testing (UAT) cycles. In addition, clear severity definitions and examples of each severity level have been developed and documented. Tables provided in the formal test management plan document give details of the actions to be performed if a particular severity issue is open during SIT Exit meeting or UAT Exit meeting. These updates have led to significantly better tracking of quality across SDLC phases and across releases, which provides data to drive overall process improvements.

3. *Refreshed State Test Case review process and cycle*

The RIBridges governance process defines three primary types of software releases:

- Hot fix
- Patch release
- Major release

Due to the size of releases and deployment windows, each release type has a different cadence and therefore necessitates different testing processes, although all of them are based on the same guidelines and use the same tools and reports. The test case review process for each release type has been prescribed in the test management plan document. In all cases, the State will review and approve test case coverage for each release. For major releases, a review of test cases is performed, which includes review by business leads, State Business Analysts (BAs), and State testing team members.

4. *Refreshed security testing approach*

As mentioned in the S-SDLC section above, the State’s security testing is designed both to independently and objectively ensure the State remains Minimum Acceptable Risk Standards for Exchange (MARS-E 2.0) compliant and to proactively discover defects prior to release. To this end, the team reviews policies, design documents, and vendor plans to evaluate their effectiveness and to confirm they are being followed; conducts interviews with vendor technical leads and State technical leads; inspects the configuration to verify components;

and conducts bi-monthly (Web Application Dynamic) and quarterly (Network/OS/Database/IRS Compliance) vulnerability scanning using industry-proven tools. Scanning and penetration testing are performed on a bi-monthly and/or quarterly basis. The Bi-Monthly Independent Verification and Validation (IV&V) Security Scan Report and the Major IV&V Security Vulnerability Assessment Report serves as evidence of continuous monitoring (RA-5, SA-11, CM-7, etc.) and the findings and recommendations will help ensure the State remains MARS-E 2.0 compliant. A workgroup consisting of the State's security analyst, SI developers, and SI security teams has been established to analyze the results, discuss corrections, and improve the security awareness of the development team. Items that require code changes are prioritized through the existing governance process. Lessons learned from this activity are captured by the development team manager and shared with members of the SI team through training and checklists.

Additionally, during Q1 of FFY 2020, the program's test management processes have continued to mature. Of note, significant progress has been made towards the automation of the UAT regression test suite using Automation Anywhere. As of December 2019, the KPMG team has completed automation of 60 regression test cases and will execute the relevant selection with each release going forward. Note that the SIT regression test suite is already largely automated through selenium. Lastly, the test management team has completed a full refresh of performance testing procedures. This included the following:

- Updating the performance testing suite to accurately reflect peak user load (plus some buffer) and most common business use cases (based on production data)
- Establishing performance testing entry and exit criteria
- Establishing a process for maintain the performance test results baseline
- Refreshing performance testing report

Prioritization/Annual Planning

In order to determine the scope for the UHIP Annual Plan, Agency leadership, in conjunction with theme teams, defined high-priority business outcomes and documented the necessary requirements to deliver these outcomes to the business. By leveraging the business cases to assess the value and impact of each outcome, the executives made key decisions regarding the top priorities for the team to focus on in FFY 2020 to continue to move the system towards operational maturity while maintaining compliance. Based on these prioritized business outcomes, the joint IT teams recommended different scope options based on a variety of factors including available capacity of the IT teams throughout the Software Development Life Cycle (SDLC) process, including the State's ability to completely and accurately conduct user acceptance testing and release readiness prior to deployment. Throughout this planning process, cost allocation was also taken into consideration. Final recommendations for major release scope were then brought to the UHIP Executive Committee for review and approval.

The Annual Plan includes two Major Releases in calendar year 2020: March and July. Please note that the original annual plan called for a June 2020 release. However, given that this is the last planned major release, the State has the flexibility to adapt the schedule as needed and has moved the release to July to allow additional time for requirements gathering. During the planning phase of each Major Release, the Joint IT team will provide Agency executives with an opportunity to re-confirm the planned outcomes and BRRs for the release. The Agency executives will be asked to assess the Annual Plan against BRRs on their

Leaderboards. If there is a change in priorities, the Agency executives may ask the Joint IT Team to assess potential changes to the planned scope outlined in the Annual Plan. After reviewing the assessment, including any impact on cost allocation, the Agency executives will approve the final scope of the release. This also includes reviewing and approving problem ticket scope. The focus will be on Problem Tickets related to BRRs in the major release or Problem Tickets prioritized by Theme Teams. Once approved, all scope items associated with the Major Release will be updated in JIRA.

On an ongoing basis, Theme Teams and Agency IT Leads will manage the intake of BRRs not in scope of the Annual Release Plan by conducting business analysis and prioritizing these BRRs against existing priorities. Executives will then review Agency-Level Leaderboards and validate that the highest priority BRRs merit an IT assessment. If prioritized for an assessment, the Joint IT team will conduct analysis to determine whether the BRR should be deployed in a patch or a major release based on the complexity of the change, the technical feasibility and the testing resources required to perform SIT and UAT

On a weekly basis at Maintenance Prioritization Committee (MPC), the joint IT team will provide Agency IT Leads with an IT recommendation of how to allocate the scope available in upcoming Patch Releases, across the following three categories:

- Small "Patchable" BRRs prioritized by Agency-Level Leaderboards
- Problem Tickets prioritized by the Command Center
- Problem Tickets prioritized by Theme Teams

Final approval of small BRRs aligned to a specific Patch Release will be approved at Change Review Board (CRB) to ensure proposed hours are reviewed and approved. Once approved, the scope will be updated and tracked in JIRA.

Once the scope for any Patch Release or Major Release (problem tickets) is approved, any requests to add or remove items will be reviewed and approved at the weekly MPC meeting where the Joint IT team and the Agency leads assess proposed changes for technical feasibility as well as the State's User Acceptance Testing and business readiness coverage. If a change in scope impacts hours, it will also be reviewed and approved at CRB. Once approved, changes are tracked in JIRA where the teams leverage the Release Dashboards to manage the release scope and the release schedule. Please refer to the sample dashboards below:

Table 2k. Release Scope and Schedule

Release Scope and Schedule

Filter Results: Release Schedule										
Summary ↑	Status	Design Start Date	Design End Date	Development Start	Development End	SIT Start	SIT End	UAT Start	UAT End	Production Deployment
7.26	IN PROGRESS	31/Dec/18	15/Feb/19	18/Feb/19	22/Mar/19	25/Mar/19	03/May/19	06/May/19	07/Jun/19	21/Jun/19
7.26.1	IN PROGRESS			29/Apr/19	17/May/19	20/May/19	14/Jun/19	17/Jun/19	12/Jul/19	12/Jul/19
7.26.2	IN PROGRESS			20/May/19	14/Jun/19	17/Jun/19	12/Jul/19	15/Jul/19	09/Aug/19	09/Aug/19
7.26.3	IN PROGRESS			17/Jun/19	12/Jul/19	15/Jul/19	02/Aug/19	05/Aug/19	23/Aug/19	23/Aug/19
7.27	IN PROGRESS	25/Mar/19	10/May/19	13/May/19	14/Jun/19	17/Jun/19	02/Aug/19	05/Aug/19	06/Sep/19	20/Sep/19
7.27.1	OPEN			24/Jun/19	02/Aug/19	05/Aug/19	30/Aug/19	02/Sep/19	11/Oct/19	11/Oct/19
7.27.2	OPEN			12/Aug/19	13/Sep/19	16/Sep/19	11/Oct/19	14/Oct/19	08/Nov/19	08/Nov/19
7.28	OPEN	17/Jun/19	09/Aug/19	12/Aug/19	13/Sep/19	16/Sep/19	25/Oct/19	28/Oct/19	29/Nov/19	13/Dec/19

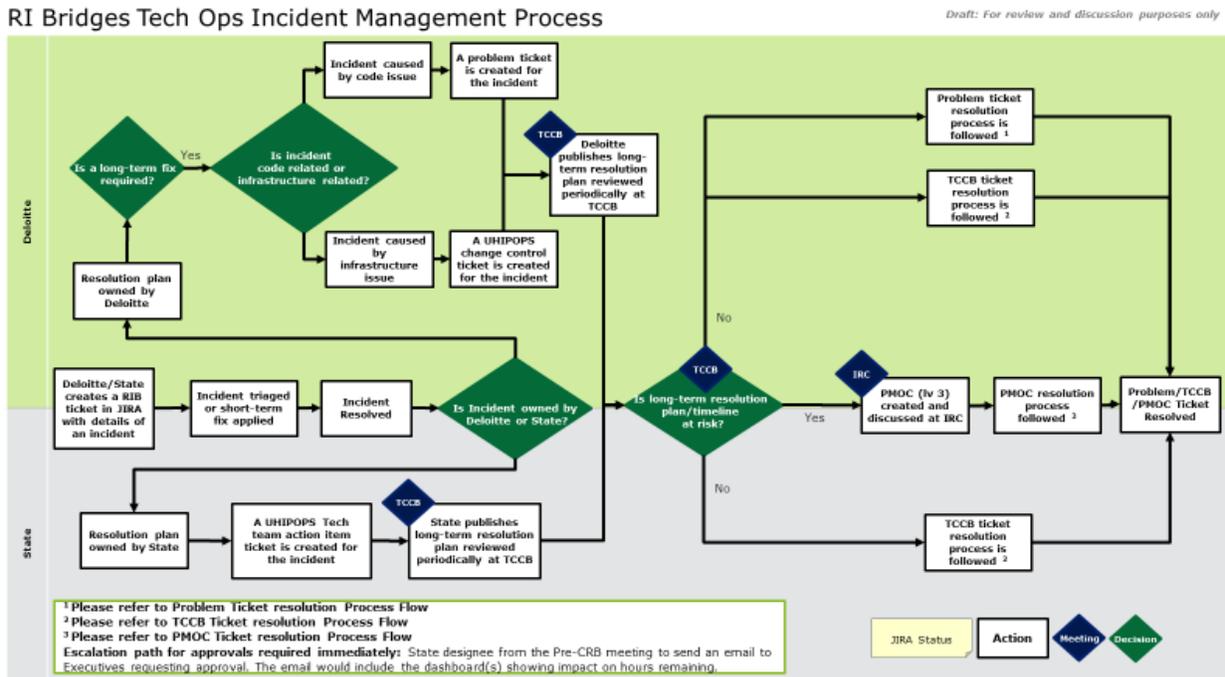
Two Dimensional Filter Statistics: Approved Release Scope			
Fix For Versions (all)	BRR	Problem	T:
7.25.4	1	29	30
7.25.5	1	34	35
7.26	31	156	187
7.26.1	3	63	66
7.26.2	1	68	69
7.26.3	1	0	1
7.27	24	136	160
7.27.1	3	86	89
7.28	24	114	138
Total Unique Issues:	89	686	775

The EPMO will work with the DDI vendor to monitor adherence to the Annual Plan to ensure no changes are made outside of the governance process and to report on progress towards the delivery of the plan and achieving the business outcomes.

Technical (Infrastructure) Operations Incident Management

In addition to the establishment of joint triage to better manage RIBridges application incidents, FFY 2019 saw a great deal of progress made with regards to the incident management process for technical/infrastructure operations. The incident reporting process was better structured and thus reporting on incident numbers, as well as general inflow and outflows of incidents, was greatly improved. The triage process and ability to send incidents out to respective theme teams or operational groups allowed for a level of stability in FFY 2019 that had not previously been attained and also resulted into fewer incidents overall. The following table provides an overview of the incident management process.

Table 21. Incident Management Process Overview



Release Management Plan

In collaboration with the vendor, the team created a new document called the Release Management Plan to capture all of the best practices that have been deployed across the project related to all release management activities. The purpose of this document is to describe and document the steps of the Release Management process for the Rhode Island Unified Health Infrastructure Project (UHIP). The process provides a structured approach to Release Management including: Annual Release Planning, Business Prioritization, and the end-to-end activities to Plan, Build, Test, Prepare, Deploy, Validate, and Close each release. This is a living project document which will be updated periodically, and as necessary, by the combined Release Management team (including the State, Deloitte, and other vendors).

Improvements in On Time Delivery of Reporting Releases

Changes have been made to bring the reporting releases under the release management governance and Issue Resolution Committee (IRC) oversight to improve the predictability and adherence to schedules and budgets. One of the key process improvements included adding a new Information Management Release Scorecard to the weekly IRC agenda and meeting materials. A sample of the new scorecard is shown below. In addition, the status of User Acceptance Testing of IM releases is being managed more effectively via the Release Management Team. Lastly, prototypes with more

Rhode Island Unified Health Infrastructure Project (UHIP) Medicaid Eligibility and Enrollment (EE)
 Implementation Advanced Planning Document (IAPD)
 OMB Approval Number: 0938-1268

“production-like” data are being used to confirm requirements earlier in the development cycle. This has led to a higher acceptance of the report enhancements and defects during UAT.

Information Management Release Scorecard

Draft: For review and discussion purposes only

As of December 16, 2019

Status Key: ● On-Track ● At Risk ● Off-Track, but Recoverable ● Off-Track, Decision Needed ● Complete ● Planned Start ● On Hold

Information Management (IM) Release Scorecard: Release Status (Planned Start Date – Planned Completion Date)										
Summary		<p>Sherlock Report:</p> <ol style="list-style-type: none"> BRR# RIB-114149: <ul style="list-style-type: none"> Received the revised template and the definitions for the new report from the State on 12/12. IM team is working internally with the LTSS team to review the requirements. LOEs determination on the new BRR is in process and will be shared by 12/18. Problem Ticket# RIB-115477: <ul style="list-style-type: none"> This fix is tagged to 1/17 as an interim report until BRR is delivered. <p>PMOC-1138 Analysis on comparing FNS-388 and FNS-46 reports with AMA data is complete.</p> <ol style="list-style-type: none"> FNS-388: <ul style="list-style-type: none"> FNS Guidance received on 12/5 to include the Fraud investigator benefits on Line E, State raised BRR# RIB-118486 and is currently under prioritization. FNS-46: <ul style="list-style-type: none"> State resubmitted Feb 2019 through July 2019 reports into FPRS portal. The discrepancies with Oct and Dec 2018 reports were fixed on 12/9 and the reports are regenerated on 12/10. Deloitte has generated the FY17 and 18 reports and shared with State for validation on 12/5. There was a concern with regards to the historical cancellations which the team is analyzing and will get back to State by 12/16. For Jan 2019 and Dec 2018, FIS and Bridges data match but AMA has \$135 discrepancy. FNS is currently analyzing this discrepancy. The EBT-03 is now scheduled to run everyday via UHIPBAOPS-4305 to avoid the discrepancies that are arising on the report whenever the 1st of the month falls on a weekend. FNS has requested the State for a write-up of the process that is in place to handle the discrepancies that are handled on the EBT-03 reports. State will reach out to Deloitte for any help. 								
Pending Validations from Deployed Releases:		N/A								
Release Date + Scope	Requirements Gathering	FDD	Prototype	DEV	SIT	UAT	Deployment	Deloitte Post Prod Validation	State Post Prod Validation	
12/13 Release	Complete (9/16-9/20)	Complete (9/23-9/27)	Complete (9/30-10/25)	Complete (10/28-11/1)	Complete (11/4-11/22)	Complete (11/25-12/12)	Complete 12/13	On-Track (12/16-12/18)	Not Started (12/19-1/2)	
BRR RIB-112076: IEVS Reporting Functionality for RIB-55845 BRR RIB-95242: LTSS Monthly Provider Report BRR RIB-104498: FNS 388 Retroactive changes + 2 BRRs, 3 Problem tickets, 3 Operational requests	<u>Risks and Issues:</u> N/A									
12/13 Release (compressed test cycle)	Complete (10/21-10/25)	Complete (10/28-11/1)	N/A	Complete (11/4-11/15)	Complete (11/18-11/29)	Complete (12/2-12/12)	Complete 12/13	On-Track (12/16-12/18)	Not Started (12/19-1/2)	
BRR RIB-115953: LTSS One-List Adoption BRR RIB-105386: Create Medicaid Termination Dashboard +1 Operational Request +1 Problem Ticket	These 4 items tagged to 12/13 are following a different test cycle as per the agreement with the business because of late additions. <u>Risks and Issues:</u> N/A									

Enhanced Operational Post-Release Readiness Planning and Execution

During Q1 of FY 2020, significant changes were made to the planning for and execution of post release monitoring processes. Specifically, for the December quarterly release, each system change was reviewed in detail by the joint IT team and a detailed validation and monitoring plan was developed. These plans included setting aside cases for validation, execution of more than 20 monitoring specific SQL scripts, and performing substantial offline review of sample cases identified by the monitoring scripts. After the release was deployed to production, this approach enabled the joint team to complete validations of the release in a significantly expedited fashion. This led to early issue identification and resolution, preventing a number of situations that would have normally created a business disruption. The joint team plans to carry this practice forward to future major and path releases. As a part of this, the team will prepare release acceptance criteria much earlier in the SDLC and will seek executive approval.

Improvements in Scheduling and Execution of Batch Operational Activities

The operational control committee (OCC) has continued to focus on process improvement and maturity during Q1 of FFY 2020. A refresh of batch execution reporting (both daily and weekly) has been completed and allows the team to better monitor and communicate about batch issues and successes. Additionally, the annual special batch calendar continues to be maintained and worked actively. This

process has been enhanced by the addition of a batch scorecard slide which is presented at the Issue Resolution Committee (IRC). The batch scorecard documents the steps being taken to reach production execution readiness and the status of each. These steps are primarily comprised of dry runs/testing and operational readiness activities.

Overall System Status

Overall, RIBridges saw a significant improvement in the system functionality and project oversight functions during FFY 2019 and that trend continues as we approach CY 2020. The following table provides an overview of the program areas included in RIBridges, split between Phase I and Phase II. These programs are color coded by level of system maturity and substantial compliance with federal and state law and regulation. Programs coded as green are considered to be mature as of December 2019. This indicates a baseline of functionality upon which the State may continue to build in the interest of compliance or other business priorities, like cost-effectiveness. Programs coded in yellow have made major advancements towards maturity but require certain system stabilization efforts to achieve the full baseline functionality of a mature program. Finally, programs coded as red are programs that require significant effort to achieve baseline functionality. As of December 31, 2019, there are no programs classified as red.

Table 2m. RIBridges Program Components

Table Key: Green = Mature Program, Yellow = System Stabilizing

RIBridges	
Phase I	Phase II
Qualified Health Plans (QHP)	Special Medicaid
MAGI Medicaid – System Administration	Children’s Health Insurance Program (CHIP)
	Long Term Service and Support (LTSS)
	Rite Share
	Medicare Premium Payment Program (MPP)
	Supplemental Nutrition Assistance Program (SNAP)
	Rhode Island Works (RIW)
	Child Care Assistance Program (CCAP)
	General Public Assistance (GPA)
	State Supplemental Payment Program (SSP)

System maturity progress has been significant in FFY 2019. The following programs changed from a category of red to yellow: LTSS, Rite Share, and MPP. With the retirement of the MPP IBP, MPP has recently moved from yellow to green. In addition, SNAP, CCAP and RIW programs changed from yellow to green. It is critical that this momentum is sustained and that additional program areas continue to be addressed and brought to maturity over the course of the next few years. The Major Releases in March and July of 2020 have plans to address additional enhancements for LTSS and “special” Medicaid including Presumptive Eligibility, SSI and Protective Classes. Continued resource support for this project will be essential to obtaining the overall goals and objectives of UHIP.

3-Statement of Needs, Objectives, and Proposed Activities of the IAPD

The objective of UHIP in Rhode Island has remained constant over the life of this significant project. Broad goals such as realizing near universal health coverage, improving and modernizing access to human service benefits, improving accuracy and timeliness of provider payments, and creating a no-wrong door approach for Rhode Island families to access services and supports still remain as guiding principles of this work. The activities, plans, and resource requests contained in this IAPD-U are intended to further advance UHIP towards these overarching goals and the creation of an integrated system.

IAPD-U sections 6, 8, and 10 respectively lay out the detailed contractor, personnel, and budget requests for upcoming federal fiscal year. Section 7 of this document provides an overview of the project management and governance processes that are currently in place to ensure that as the needs are fulfilled, they are done in a way that is efficient, effective, and well managed. These needs are presented in the framework that is used throughout this document dividing 2020 plans between RIBridges priorities and project management priorities.

Table 3a. UHIP Project Plans for FFY 2020

UHIP FFY 2020 RIBridges Priorities	
Business Function Priorities	Technical Priorities
Address Audit Findings and Improve System Auditability	Update Oracle Database
Implement RI-1115 Waiver	Automate Oracle Policy
Improve Medicaid Eligibility Functions	Update IBM Security Access Manager (ISAM)
Implement Sherlock Choice Capabilities	
Improve SSI Processing	
Address Ex-Parte Requirements	
Implement LTSS Roadmap	
Improve Notice Accuracy	
Improve SNAP Program Functionality	
Automate DHS Functionality	

UHIP FFY 2020 Project Management Priorities	
Administration	Process
Improve Vendor Management	Capitalize on Operational Control Committee (OCC)
Recognize Efficiencies from Data Review Board (DRB)	Improve Problem Management Function
Recognize Efficiencies from Technical Change Control Board	
Establish Performance Management Group	

RIBridges – Business Functions

Rhode Island will further advance the already high-level of business functionality or RIBridges during the FFY 2020. The business functionality will be addressed over the course of what is expected to be three

major releases and a series of patches throughout the FFY. The table above provides some key business areas that will be of focus during FFY 2020. These areas are described in more detail in the paragraphs below.

Address Audit Findings and Improve System Auditability

The plan for addressing remaining audit findings in FFY 2020 contains two major components. First, the state intends to address a specific notice issue that has allowed the last four digits of a member's social security number (SSN) to appear. These numbers should not appear at all and once the BRR is completed will no longer be shown. The second component of this plan will improve auditor's ability to verify historical information in the worker portal, including worker and other actions taken on the case. These improvements are needed for both the internal quality control (QC) process and for external auditors and regulators. This item has been determined to be part of the baseline plan BRRs and as such will be covered by the services provided by the SI without charge but will require work from other vendors through testing and implementation.

RI- 1115 Waiver Implementation

Certain system changes are needed in FFY 2020 to realize the full benefits of Rhode Island's 1115 Waiver Authority. Technology changes are needed to develop eligibility and aid categories for children with special needs who are considered disabled but whose income and assets exceed SSI limits per the Section 1115 Waiver. In addition, the system needs to facilitate care for children without disrupting custody agreements. Parents should not have to relinquish custody in order for a child to receive care. These changes will be implemented through the BRR process.

Medicaid Eligibility Requirements

Continuing to address CMS and Rhode Island Medicaid eligibility requirements is the most diverse category of issues that will be a point of UHIP focus in FFY 2020. Some of the various items in this category are included in the baseline plan; however, the majority will be handled through the normal BRR process. Some of the major eligibility categories to be addressed in FFY 2020 are as follows:

- Intake processing for eligibility beyond 10 months
- Child welfare involved newborn eligibility
- MAGI eligibility changes for 1/12th income rule and married filing jointly flags
- Verifications for pregnant women
- RSDI information in disability screens

In addition to the specific items listed above, continued notice updates and termination accuracy will be addressed as broader Medicaid eligibility items. The notice updates are key for conveying accurate and timely information to system users. The notice items planned for FFY 2020 include an update to "COR-ENR-07", suppression of DEA Copay Benefit Decision Notices (BDNs), and 2019 tax year 2095b changes. The termination items to be addressed during FFY 2020 include automation of the termination function when emergency Medicaid coverage has ended and adding functionality to capture the source of presumptive eligibility determinations for audit purposes.

Improve SSI Processing

Rhode Island's current processing of SSI is inefficient. These issues have become a high priority to be addressed in FFY 2020. Due to the extensive nature of the items to be addressed a process is currently underway to determine how many of the SSI issues can be addressed with the budget and resources available in FFY 2020. Technology fixes to be implemented will come from an inter-agency LEAN government event that concluded in June 2019 to diagram state processes and generate recommendations for efficiency. The most likely SSI areas for prioritization are:

- Medicare Premium Payment (MPP) SSI Workflow
- State Data Exchange (SDX) Notices
- SDX Batches
- SDX Payments
- Bendex

Implementation of Sherlock Choice Capabilities

CMS has been clear that Sherlock is a program not limited to only those that are otherwise ineligible for another category. Therefore, the RIBridges eligibility hierarchy should be modified to allow individuals the choice between Sherlock and Home and Community Based Services (HCBS). This change will be implemented through an edit to the enrollment screen that will allow for a choice between HCBS and Sherlock LTSS. In addition, the business logic for eligibility will be updated to show the option selection by the caseworker. These changes are currently scheduled to be delivered in February 2020.

Address Ex-Parte Requirements

The ex-parte requirements were recently addressed as part of the December 2019 release. The requirements addressed included the following:

- Implement ex-parte process for all Medicaid terminations to comply with Federal / State policy requiring eligibility determination for all Medicaid programs before termination
- Send policy complaint notification to clients losing SSI benefits
- Send policy compliant notification to clients aging out of MAGI Medicaid program as well as to clients losing their Medicaid benefits
- Implement 6-month review process and 12-month termination process for all transitional Medicaid clients
- Create task driven work flow to facilitate transition of work across agencies

LTSS Roadmap

The LTSS roadmap is a substantial component of the UHIP development plan for FFY 2020. The ultimate goal of this roadmap is moving the LTSS business functionality toward operational maturity. In FFY 2020, the following areas will be addressed through the release process:

- Worker inbox enhancements
- Streamlined verification process and screens
- Improved integration of asset verification
- Case closure for overdue renewals

- MMIS dashboard development for LTSS work
- Processing program transitions with screen enhancements
- Regular case data updates for workers, providers, and State agencies

Improve SNAP Program Functionality

Improve accuracy related to how household composition is determined for SNAP. Enhancements will be focused on ensuring that household composition is accurate, while implementing business process improvements that will help us better service SNAP customers; and on providing continued benefits to households in certain circumstances with the exclusion of the primary applicant. This will also reduce the need for the impacted applicants to reapply for benefits.

Automate DHS Functionality

RIbridges currently receives death information via interfaces from external sources such as the Social Security Administration (SSA) and the Department of Health (DOH). However, currently, the process for verification of the death information is manual. During FFY 2020, the information being received will be utilized to automate the process of verification by using the death information in RIBridges and sending out requests for additional information from clients. In addition to the reduction in human time that will be required for the verification process, it is expected that this automation will also produce cost savings associated with returned mail and will improve accuracy of the overall close out process.

Additional Functionality

In addition to the key business function items described above, it is expected that there will also be more generalized improvements in Rhode Island Works (RIW) functionality, Child Care Assistance Program (CCAP) functionality, and HSRI functionality. The changes to RIW expected to prevent early closure of individuals for what is currently commonly referred to as the 24-in-60 requirement were released in December. CCAP updates to streamline the existing CCAP payment process and to support tiered rates were also implemented. In addition, the HSRI changes to create an administrative override screen capability were also delivered. This functionality will significantly reduce FTEs spent on correcting discrepancies in the system. Finally, the HSRI functionality to include the ability to prorate annual income will be fully deployed in January of 2020.

RIBridges – Technical

Technical plans for FFY 2020 include planning for an update of the Oracle Policy Automation (OPA), the business rules engine, an update to ISAM (access management), and an Oracle database update. In addition, the State believes that FFY 2020 will see efficiencies in IT management driven by improvements to the Data Review Board (DRB), improvements to Technical Change Control Board (TCCB), and the temporary establishment of an application performance management group.

Oracle Policy Automation

The business rules for RIBridges runs on an engine built using Oracle Policy Automation. The current version of Oracle Policy Automation reaches end of life on March 31, 2020 and needs to be upgraded to maintain patch and security compliance.

ISAM Update

The Access Management system for RIBridges application is built on ISAM. The current version of ISAM is on extended support and would reach end-of-life in September 2021. ISAM will have to be upgraded to reduce expenditure for extended support and to maintain patch and security compliance.

Oracle Database Update

The current version of Oracle database that hosts the transactional and analytical data for RIBridges will reach end-of-life in December 2020. The Oracle version needs to be upgraded to reduce expenditure for extended support and maintain patch and security compliance.

Project Management – Administration

Vendor Management

Project administration work in FFY 2020 will be primarily focused on further implementation of the policies and procedures set in place during FFY 2019 and enforcement of the vendor agreements that were signed during FFY 2019. FFY 2019 saw a change in contract language and contract amendments – most notably with Deloitte’s CA 47 – that provides the State with greater management resources and capabilities to hold vendors accountable. CA 47, for example, contains a long series of SLAs that have been highlighted in Attachment F. Many of those SLAs require monthly reporting to the State and financial penalties in the event that targets are not met. Formalizing the requirements within contractual language has been a major step in setting up project administrators to succeed. Project management understands that it will be incumbent on the UHIP leadership team to review the monthly reporting that is provided and maintain communication and oversight of the project going forward. Attachment G provides an example of the Deloitte KPI dashboard.

In addition to contract language changes, the State also undertook a contract review process in FFY 2019 that has resulted in the elimination of certain contracts and improvements in the overall procurement processes. The impact of those improvements is expected to be fully achieved in FFY 2020. The State has moved away from sole-source contracting to a system of open bid procurements. UHIP leadership maintains a schedule of UHIP contract terms and have been actively working with federal partners at CMS and FNS to develop the requests for proposals (RFPs) that will be utilized for procurement of services that will be needed in FFY 2020 and beyond.

Statewide, Rhode Island has engaged a managed services vendor, Knowledge Services, to provide a platform for procuring IT and project management support services. The State leveraged an open bid procurement in another state and will roll out the new procurement process by October 2019. This is expected to be of great value to UHIP in providing access to a wide range of vendors, creating a platform for price competition, and establishing a procurement process that will be more responsive than the

master price agreement process it is replacing. Already, Knowledge Services has supported UHIP in reducing reliance on long-standing vendors for a set of resources at a lower cost.

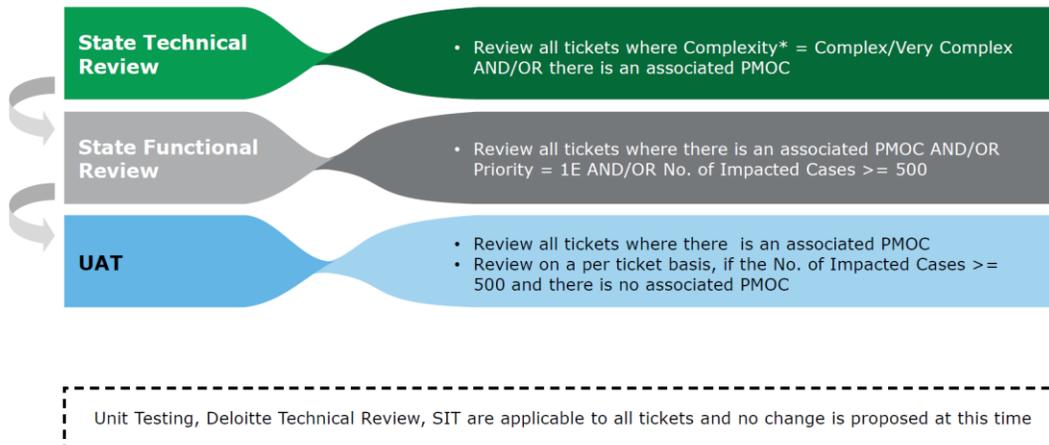
Data Review Board (DRB)

The DRB was established to formalize the process of reviewing and approving each data fix associated with the RIBridges system. In FFY 2020 it is expected that the full efforts and efficiencies of this group will be felt as the following process updates will be enacted. The process flow is predicated on weekly review meetings with Deloitte and State DRB personnel. The results of these efforts should be a classification of each data fix tracked by complexity and number of cases impacted. This classification will then be combined with the level of priority (as determined by the State) to form a matrix of data fixes. The resulting matrix will guide executive committee members through the decision-making process with empirical evidence. The following table provides an overview of the data fix ticket process.

Table 3b. Data Fix Review Criteria

Proposed Data Fix State Review Criteria

Proposed level of review for each data fix ticket is dependent on complexity, population under consideration, and impact to business



*Complexity will be reviewed weekly by Deloitte and State DRB personnel

Technical Change Control Board (TCCB)

The TCCB is the governance body responsible for planning for, reviewing, approving, and executing changes to the UHIP infrastructure (hardware and software other than the application code itself). In FFY 2019, the TCCB was strengthened to incorporate some additional planning and governance processes such as the Technical/Infrastructure Operations incident management process mentioned above. In FFY 2020, as the cadence of application releases slows, TCCB will also undergo a refresh with a focus on more advanced planning and predictability for technical/infrastructure maintenance and enhancement activities. As mentioned in the previous section, these changes have begun in the form of refreshing the review approach to better integrate with other governance processes.

Performance Working Group

As the RIBridges application has stabilized, the joint IT and business teams have had the capacity to focus on performance related issues in the system. In FFY 2020, the leadership team has established a temporary performance management group to identify opportunities for process improvements in the area of application performance. This will include enhancements to the SDLC to better account for performance considerations, enhanced testing practices to ensure that applications releases will not degrade performance, and enhanced production monitoring of performance to ensure stable production operations.

During Q1 of FFY 2020, significant progress was made as a part of the Performance Working Group (PWG). The PWG charter has been created and is included below. Additionally, the PWG has created acceptance criteria for each of its three goals and has made substantial progress against the first two. Details of the progress made against the performance testing objective are also mentioned earlier in this document. Regarding the preventative measures for production health, the research and analysis portion has been completed and a number of framework level and configuration fixes have been identified that will improve either performance or stability of certain transactions. These fixes are being prioritized through existing governance processes. As FFY 2020 continues, the PWG’s focus will turn the third objective wherein the goal is to identify opportunities to improve eligibility performance in the production environment.

Performance Working Group Charter

Draft: For review and discussion purposes only

Purpose and Scope	Meeting Participants & Governance Roles										
<ol style="list-style-type: none"> 1) Improve identification and communication of the anticipated impact of a given release upon system performance by formalizing the SDLC processes for performance testing 2) Proactively identify and remediate existing issues (e.g. bad SQL queries) which have the potential to cause a user service interruption in PROD (e.g. users inadvertently bringing down a JVM) 3) Conduct analysis for tuning eligibility transaction performance 	State Chair: Jim Ritter <table border="1" style="width: 100%;"> <thead> <tr style="background-color: #0066b3; color: white;"> <th>State</th> </tr> </thead> <tbody> <tr><td>Jim Ritter (C)</td></tr> <tr><td>Phil Silva</td></tr> <tr><td>Bobby Malhotra</td></tr> </tbody> </table>	State	Jim Ritter (C)	Phil Silva	Bobby Malhotra	Deloitte Chair: Mike Flaxman <table border="1" style="width: 100%;"> <thead> <tr style="background-color: #76b82a; color: white;"> <th>Deloitte</th> </tr> </thead> <tbody> <tr><td>Mike Flaxman (C)</td></tr> <tr><td>Neil Blumen</td></tr> <tr><td>Rohan Khopkar</td></tr> <tr><td>Rakesh Chandrasekaran</td></tr> </tbody> </table>	Deloitte	Mike Flaxman (C)	Neil Blumen	Rohan Khopkar	Rakesh Chandrasekaran
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Bobby Malhotra											
Deloitte											
Mike Flaxman (C)											
Neil Blumen											
Rohan Khopkar											
Rakesh Chandrasekaran											
Agenda/Objectives	Meeting Cadence										
<ol style="list-style-type: none"> 1. SDLC Improvements for Performance Testing <ol style="list-style-type: none"> a) Objectives <ol style="list-style-type: none"> i. Joint IT Team to align upon the test suite for performance testing ii. Joint IT Team to align upon timing within the SDLC (specifically Entry, Exit, and post-prod validation in relation to rest of SDLC) iii. Joint IT Team to align upon format of reporting at each gate of the SDLC iv. Joint IT Team to align upon baseline performance under new test suite b) Transition to M&O <ol style="list-style-type: none"> i. Incorporate within the test management plan 2. Preventative Measures for Production Health <ol style="list-style-type: none"> a) Objectives <ol style="list-style-type: none"> i. Identify an interim list of short-term fixes ii. Conduct research with SMEs and other States on methods to prevent user action causing JVM failures iii. Define data archiving strategy accounting for data retention policy inputs iv. Joint IT Team to agree upon the scope of the performance concerns for long-term changes v. Joint IT Team to agree upon a prioritized list of actions in the form of JIRA tickets (BRRs, SRs, UHIPOPS or Problems) from the code review results and data archiving strategy b) Transition to M&O <ol style="list-style-type: none"> i. Incorporate outcomes into the M&O governance processes 3. Eligibility Transaction Performance Tuning Analysis <ol style="list-style-type: none"> a) Objectives <ol style="list-style-type: none"> i. Agree upon monitoring approach for production eligibility performance ii. Joint IT Team to agree upon a prioritized list of actions in the form of JIRA tickets (BRRs, SRs, UHIPOPS or Problems) to tune eligibility performance for large households and retroactive months b) Transition to M&O <ol style="list-style-type: none"> i. Incorporate outcomes into the M&O governance processes 	<ul style="list-style-type: none"> • Charter finalized on 7/25 • Meetings Scheduled weekly for the first 10 weeks – cadence to be reassessed once short-term action items are closed • Recurring placeholder invite to be sent out through target closure date 										
Interdependencies											
Inputs	Outputs										
<ul style="list-style-type: none"> • Today’s performance testing suite • Today’s performance testing timeline • Today’s performance testing reporting • JVM Crash Reports • Eligibility Performance Reports 	<ul style="list-style-type: none"> • Updates to the test management plan related to performance testing <ul style="list-style-type: none"> • Test suite • Timeline • Reporting • Remediation plan for preventative measures related to PROD health <ul style="list-style-type: none"> • Scope of code review • Findings of code review • Remediation timeline • Prioritized plan for performance tuning eligibility processing 										

Project Management – Process

Two key components of the project oversight process that will play a prominent role in FFY 2020 will be the Operational Control Committee (OCC) and the problem management process.

Operations Control Committee (OCC)

The OCC charter and operational flow is laid out in the following graphics. The purpose of OCC is to govern actual operations of the RIBridges system itself. The OCC was officially established in FFY 2019, but real maturity will be recognized in FFY 2020. Batches and interfaces are executed periodically (nightly, weekly, monthly, etc.) and the OCC is responsible for providing oversight for production operations through coordination and monitoring of batches and interfaces in support of the RIBridges system. The OCC recently developed a special operational activities calendar which will be used to plan and manage all aspects of “special” annual process events (i.e. COLA) from a business and systems perspective. The following table 3c provides an overview of the OCC Charter while table 3d provides an overview of the OCC process flow.

Table 3c. OCC Charter

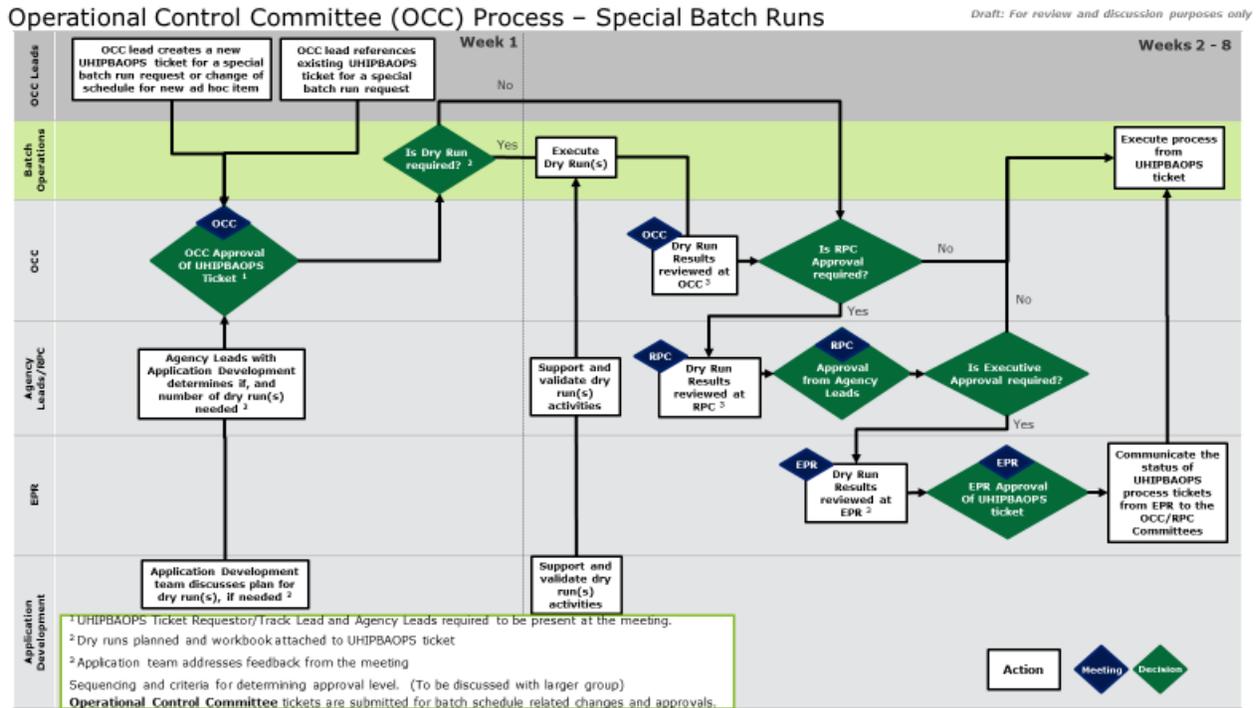
Draft: For review and discussion purposes only

Operations Control Committee (OCC) Charter

Purpose and Scope	Meeting Participants & Governance Roles																																		
<ul style="list-style-type: none"> Maintain schedule for and execute DHS, EOHHS, HSRI processes (batch and file transfer) per approved processing calendars. This includes consideration of Application releases and Technical windows. Monitor File Transfers, Batch and production operational processes Gather approval, track dry runs status, coordinate delivery of special batches. 	<p>State Chair: Phil Silva Deloitte Chair: Rakesh Chandrasekaran</p> <table border="1"> <thead> <tr> <th>Agency</th> <th>Lead</th> <th>PM</th> <th>Analyst</th> <th>Other</th> </tr> </thead> <tbody> <tr> <td>DHS</td> <td>Celia Blue</td> <td></td> <td>Jay Ferguson</td> <td>Saurabh Gosai</td> </tr> <tr> <td>HSRI</td> <td>Meg Ivatts</td> <td></td> <td></td> <td>Sumit Ohri, Kenneth Green</td> </tr> <tr> <td>Medicaid</td> <td>Nicole Nelson</td> <td></td> <td></td> <td>Marylin Gaudreau</td> </tr> <tr> <td>DoIT</td> <td>Liz Hathaway</td> <td>Jim Ritter</td> <td></td> <td>Alan Babbin, Steve Harkabus</td> </tr> <tr> <td>Deloitte</td> <td>Robert Riley</td> <td>Renu Pandit Mike Flaxman</td> <td>Noah Buchman, Shambhavi Gupta</td> <td>Abhinav Taduka, Abhishek Bhatia, Deloitte Application Teams ¹</td> </tr> </tbody> </table>					Agency	Lead	PM	Analyst	Other	DHS	Celia Blue		Jay Ferguson	Saurabh Gosai	HSRI	Meg Ivatts			Sumit Ohri, Kenneth Green	Medicaid	Nicole Nelson			Marylin Gaudreau	DoIT	Liz Hathaway	Jim Ritter		Alan Babbin, Steve Harkabus	Deloitte	Robert Riley	Renu Pandit Mike Flaxman	Noah Buchman, Shambhavi Gupta	Abhinav Taduka, Abhishek Bhatia, Deloitte Application Teams ¹
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Key Objectives	Interdependencies																																		
<ul style="list-style-type: none"> Review and maintain Batch Operations Runway and Special Ops JIRA dashboard to identify potential scheduling barriers and resolve any issues Track and report schedule changes to appropriate group as part of the OCC process Coordinate schedule updates with Agency Leads (RPC) or Executives (EPR) when required Track and report production batch operations metrics (ex: Batch, File Transfers, Notices, Batch Dependent Data Fixes) 	<p>Inputs</p> <ul style="list-style-type: none"> Batch Operations Runway Special Ops JIRA dashboard Batch Execution Reports File Transfer Execution Reports TCCB Meeting Minutes RPC Meeting Minutes EPR/IRC Meeting Minutes Project Runway 		<p>Outputs</p> <ul style="list-style-type: none"> OCC update for RPC OCC update for EPR Updates to Operations Runway Updates to Special Operations schedule Production batch operations metrics 																																
Standing Agenda																																			
<ul style="list-style-type: none"> Incidents, Issues and Risk review New schedule updates with production plan In progress schedule updates including latest status Schedule updates to be closed/completed 																																			

¹Deloitte Application teams include Eligibility, HIX/HSRI, Worker portal/Inbox, CCAP, Riteshare, Interfaces, Notices, Customer Portal, Issuance

Table 3d. OCC Process



Problem Management (PM) Process

The problem management process is the process by which problem tickets are created and assessed by the SI and ultimately processed through the theme team groups for further assessment and resolution proposals. The process begins after the incident management process with the reporting of actual incidents to the SI. As discussed in section 2 of this IAPD-U, incident management saw significant progress in FFY 2019 in refining the overall process and producing less reportable incidents. A new initiative, Problem Management 2.0, has been established to improve the problem management process in FFY 2020. The goals of the initiative include providing reportable metrics, actionable data, and, ultimately, a reduction in overall problem ticket tickets opened as well as the time to market for reported defects Some of the initial activities already underway by the Problem Management 2.0 team include the following:

- Evaluate defects and bring closure to outstanding tickets pending state clarification or withdrawal requested
- Make JIRA workflow changes to enable continuous solutioning of problem tickets immediately following Root Cause Analysis (RCA)
- Implement solutioning guidelines for theme teams including severity definitions to allow for better differentiation of tickets
- Implement new measure of tracking impacted cases and identify high operational impact tickets as blockers
- Implement “plan to close” process

- Leverage PM 2.0 team as escalation point and support to theme teams

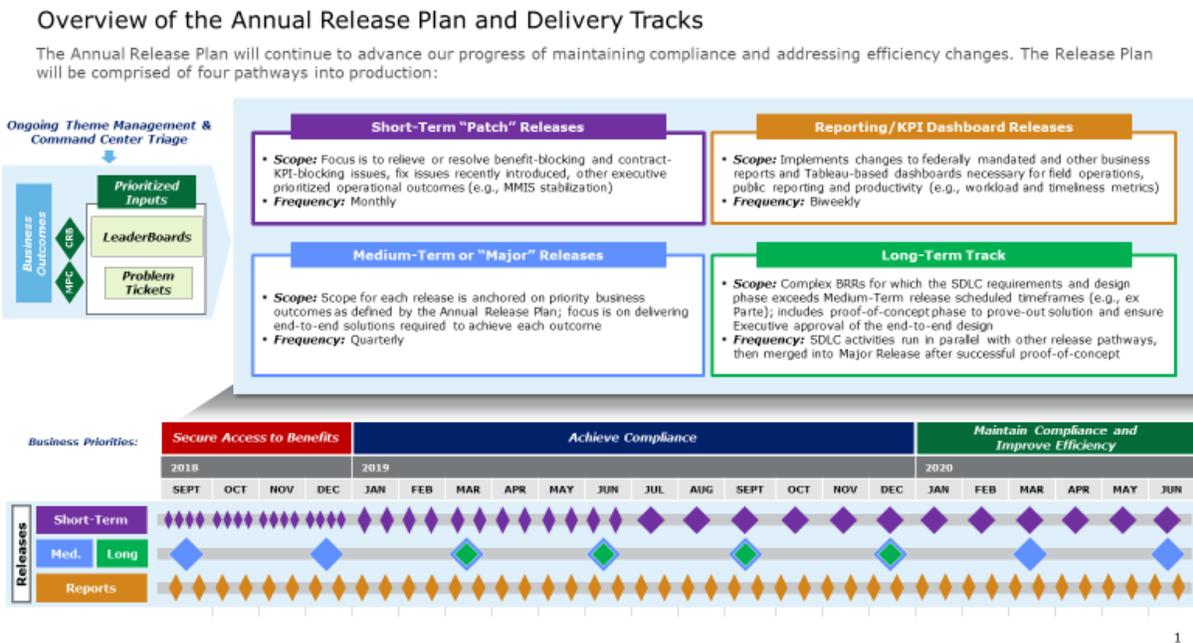
Much of the problem management process is centered with the SI. As a result, the State will be working closely with the Deloitte UHIP team to ensure that the vendor is following appropriate steps in capturing, assessing, and recording data throughout the decision process that leads to the creation of an actual problem ticket. Once data is properly captured and decision making is following established process flows, the creation of reporting metrics should become a valuable tool in understanding system functionality and will drive the ability to identify issues or vulnerabilities much earlier and more efficiently in the overall process.

4-Requirements Analysis, Feasibility Study, and Alternative Considerations

This IAPD-U is focused on ensuring completion of UHIP program priorities and moving the more stable programs into general operations. The turnaround and stabilization undertakings in FFY 2017 and FFY 2018 resulted in the delivery of an Annual Release Plan in FFY 2019. The Annual Release Plan for FFY 2020 was finalized early in the fourth quarter of FFY 2019. The FFY 2020 plan will maintain compliance and improve efficiencies for those program areas that are mature and will prioritize improvements for program areas that are nearing maturity. The development and ongoing deployment of the Annual Release Plan structure ensures that requirements are fully considered and categorized with regards to access to benefits, compliance, and efficiency. The following table provides an overview of the Annual Release Plan and delivery tracks:

Table 4a. Annual Release Plan and Delivery Tracks

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The Annual Release Plan should be considered in conjunction with the overall governance structure that has been designed and partially implemented during FFY 2019 and will be fully functional during FFY 2020. The governance structure on a go-forward basis is described in section 7 of this document in greater detail.

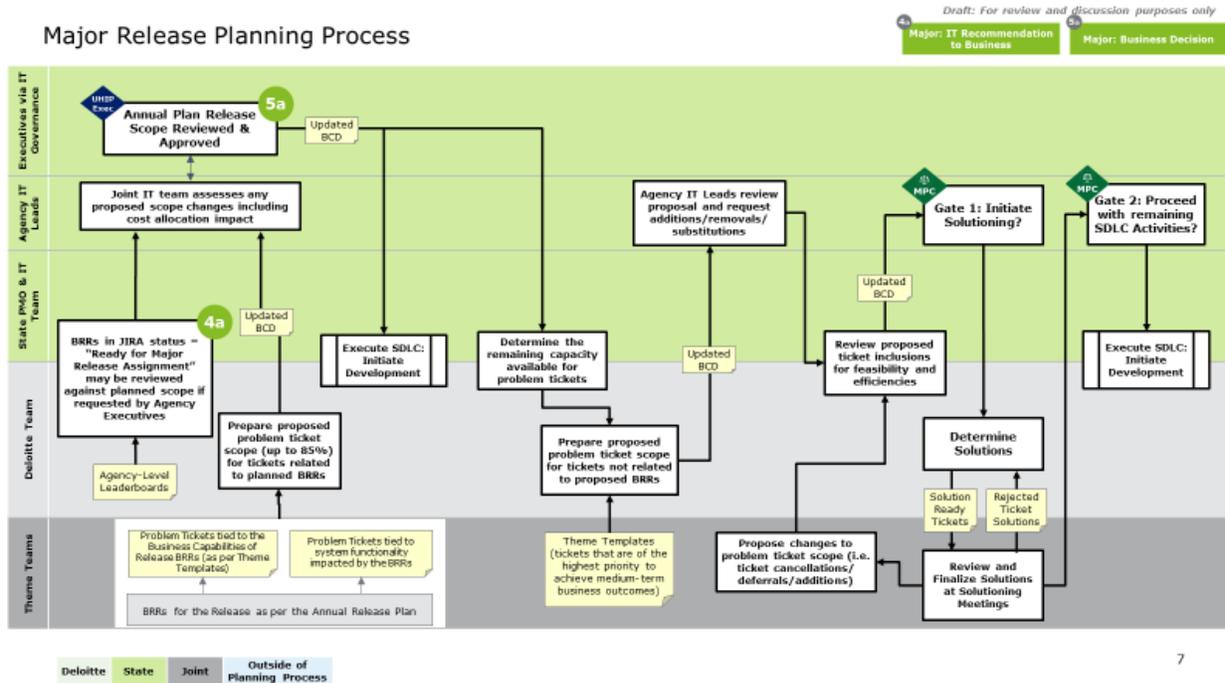
5-Cost Benefit Analysis

The State of Rhode Island is committed to implementing this project in compliance with federal and State law and regulation for UHIP programs served by the RIBridges system. An overall cost analysis of the UHIP project was conducted at the project inception. The State's commitment to this project has not changed or wavered.

In addition, to the overall cost analysis that was originally performed, the State has also made a commitment to responsible spending and financial management throughout the life of the project. To this end, a robust project governance structure has been developed that allows for prioritization and cost analysis at each step in the project plan and annual budget development. This governance structure is discussed in much greater detail in section 7; however, the following examples are provided as evidence of this structure in relation to cost analysis and sound financial management of the project.

1. Between 2017 and 2019 the State was involved in active negotiation with its SI, Deloitte. This negotiation centered around the delivery issues with RIBridges. During this time the State entertained all the available options for properly completing the system. The State contemplated switching system implementation vendors as part of this assessment. The analysis indicated that the financial cost and the risk of system failure was too great to change vendors during that time period. Challenges with the system were used in negotiations with the SI, Deloitte, and resulted in contract amendments such as CA 47, which have allowed the project to continue to be financially feasible.
2. In addition to the overarching assessment of the system integrator costs, the State's IT governance process assesses costs of each business request that is brought forward through the governance process in the context of the annual budget and the annual cost allocation plan. The best example of this cost analysis can be found in the major release planning portion of the process. The following diagram demonstrates the overall process:

Table 5a. Major Release Planning Process



As part of the Annual Plan, BRR scope aligned to the Major Releases has already been approved by the Executive Committee. However, during the planning phase of each Major Release, the Executive Committee will re-confirm their business outcomes for the release. If a change or shift in priorities occurs, the Executive Committee may bring forward a potential scope change and direct the Joint IT Team to assess proposed change(s) to the Major Release in order to determine the impact within the annual budget and the currently approved cost allocation plan. Based on the assessment, the UHIP Executive Committee may approve a change to the Annual Plan for that specific Major Release. This process ensures that when release scope is set for each major release it not only complies with the functional themes that have been funded for the current fiscal year that it also complies with the established budget and cost allocation.

6-Nature and Scope of Activities

RIbridges is a complex, integrated eligibility system, which combines more than 15 programs into a single global system. As a result of both the inherent complexity and the initial system delivery issues, contracted resources continue to be necessary to support implementation and operations. These resources will be needed for development support and system stabilization efforts until the system reaches an acceptable level of stability and program operations. The overall goal and objective of the project is to bring the system to a state of maturity that will change both the level of effort and the nature of the resources required. The State is vigilant in its assessment of ongoing contractor needs and in their overall vendor management. As a result of the State's active management, contract costs have been reduced by 25.3%

between FFY 2018 and FFY 2020. In addition, leadership reduced the FFY 2020 and overall APD budget by 11% or \$9.0M between the July 2019 and January 2020 submissions.

Contractor support is necessary to ensure a quality product is received from the SI vendor (Deloitte), mitigate system issues until they can be fully addressed, and support State staff whose primary jobs are not technological, but rather business or program focused. It is critical that the State have appropriate levels of oversight of Deloitte’s work to ensure quality. State staffing and internal resource needs are addressed in section 8 of this IAPD-U.

During FFY 2019 the State undertook a review of all contract support for the UHIP project and has updated the plans for contractor usage going forward. During this review the contractor support was organized into four service areas: UHIP IT Management; Agency Support; Executive Project Management Office (EPMO); and Finance and Administration. These service areas have also been mapped to the overall frame work utilized in this IAPD-U for results, needs, and scope of activities.

The following table shows the mapping of service areas to the IAPD-U project components framework. In addition, Attachment D, provides a mapping of contract components to these respective service areas.

Table 6a. UHIP Mapping of Service Areas to Overall Frame-work

Project Components	RIBRIDGES		PROJECT OVERSIGHT	
Sub-Components	Business Functions	Technical (System Functions)	Administration	Process
Service Areas	Agency Support	UHIP IT Management	Finance and Administration	EPMO

RIBRIDGES – Business Functions – Agency Support

The agency support service area encompasses a wide range of activities that include both DDI related system work-arounds, issue identification, and report development as well as M&O activities for contact center and general data management. Table 3a. shown in section 3 lists all of the high-level business function plans for FFY 2020. The following table provides a high-level guide to the scope of services needed for agency support of the business functions during FFY 2020:

Table 6b. Agency Support Service Area Details

Support Description	Expected Vendor(s)	DDI v M&O
IT Services for Agencies (including: incident management, leaderboard, etc.)	FCG, NG, and DXC	DDI
Development Operations	FCG	DDI
Report Development	FCG and NG	DDI
Maintenance Operations	FCG	M&O

Support Description	Expected Vendor(s)	DDI v M&O
Contact Center	AHS and FCG	M&O
Data Management	FCG and NG	M&O
Notice Production	TBD	M&O

DXC is the EOHHS Medicaid fiscal agent for IT services for Agencies, Development Operations, Report Development, and Maintenance Operations. DXC manages the core MMIS and ancillary systems covering the transactions between RIBridges and MMIS. This work includes specific testing of DDI components, especially those related to the LTSS roadmap. Similarly, Faulkner Consulting Group (FCG), and Northrop Grumman (NG) each provide services such as the establishment of workarounds for functionality that is not yet implemented, validation of releases, and identification of gaps as reported through customer facing channels and determining appropriate solutions for those gaps.

FCG’s contract also encompasses activities such as development operations, report development and production, maintenance operations, contact center oversight, and data management.

Contact Center

Automated Health Systems (AHS) provides call and walk-in center services, providing telecom and Customer Relationship Management (CRM) technology to fully support the contact center activities. This includes logging escalations for system related issues and supporting issue resolution efforts, including higher volumes and longer call times related to issues with RIBridges and UAT. FCG provides oversight resources for the contact center.

Data Management

FCG and NG split the task of data management for the UHIP project. NG focuses primarily on data quality while FCG supports report development.

RIBRIDGES – Technical – UHIP IT Management

Table 6c. UHIP IT Management Service Area

Support Description	Expected Vendor(s)	DDI v M&O
Architecture and Infrastructure	Deloitte	DDI
Hardware & Software	Deloitte	DDI
Application Enhancements	Deloitte	DDI
Application Maintenance	Deloitte	M&O
Hosting and Maintenance	Deloitte	70% M&O/30%DDI
IT Program Management	KS	DDI
UAT Testing	KPMG, AHS, & KS	DDI
Release Management	KS	DDI
Security	KS & CSG	DDI
IT Production, Batch, and Interface	KS	DDI
IT Infrastructure and Architecture	KS	DDI

Support Description	Expected Vendor(s)	DDI v M&O
IV&V	CSG Government Solutions (CSG)	DDI
IT Data (DRB)	KS	DDI

Deloitte is responsible for DDI and M&O, including the following:

- Architecture and infrastructure;
- Application Enhancements;
- Application Maintenance
- Hardware and software;
- Production hosting;
- Electronic data collection and rules engine;
- Plan management;
- Financial management and health plan reconciliation;
- Implementation support; and
- Training

Delivery, Testing and Release Management

While the State relies on the DDI system integrator for development, UHIP project managers maintain rigorous overall testing and UAT process to ensure that production-ready code is deployed into RIBridges. The process is intended to hold Deloitte accountable for the quality of their code and therefore, their releases. Testing oversight and execution activities include oversight of systems integrator testing activities (unit testing and SIT, and management and execution of user acceptance testing.) Executive oversight for testing is the responsibility of Jim Ritter, as described in section 2.

As of February 2019, the State consolidated testing support for ease of management and cost efficiency. KPMG started providing test execution support, formerly supported by NG. Starting July 2019, KPMG will take on interface UAT and, as mentioned above, KPMG has also completed automation of 60 UAT regression test scripts which will result in additional efficiencies. Knowledge Services will also provide IT staff support for UAT management and reporting. AHS provides 4 to 8 testers and DXC supports end to end testing to ensure RIBridges changes flow through to the MMIS.

In addition to code fix and BRR testing, contractors also support the testing of data scripts and fixes required for system stability. Activities in this data support group include management and support for the Data Review Board (DRB), which has oversight and approval authority across data scripts in the system, as well as script review and testing. Management of the DRB and test and script review is provided by Knowledge Services contractors.

Release management consists of release readiness preparation and execution, including release checklists, deployment playbooks, and oversight of deployments and validations. We also emphasize business readiness for release deployment through existing governance committees like the Release Planning Committee (RPC). Management of the RPC and release planning overall is provided by KS and validation execution is supported by KPMG and KS.

Independent Verification and Validation (IV&V)

CSG serves UHIP as the IV&V vendor and provides monthly and quarterly application, database and network security assessments; security source code scan and analysis and Minimum Acceptable Risk Standards for Exchange (MARS-E) 2.0 attestations. An RFP for IV&V and security services for UHIP was approved by CMS and FNS in the spring of 2019. The procurement process is complete and a contract between the State and CSG will be provided to federal partners for review.

IT M&O

IT Maintenance and Operations (M&O) includes general application technical, security, and architecture maintenance. These activities are performed on a periodic basis and their planning, testing, and execution are supported in part by contract staff. KS staff support these activities as a part of the enterprise architecture group. Details of future plans for these items can be found in sections 7 and 10 of this IAPD-U.

System Implementation Support in the Field

Contract staff must also remain in place to provide program support for a few critical areas. This is work that is a result of system issues and will not be necessary once the system is compliant and meeting KPIs. KPMG supports notice Quality Control (QC), the tier-two escalation project, and escalation support at the contact center, including data fix validation, conversion testing, and JIRA ticket fix validations. KS supports quality control QC efforts for notices, RIW and for SNAP.

Project Oversight – Administration – Finance and Administration

Much of the work in the finance and administration service area is currently performed by State employees (listed in Attachment C) as described in section 8. Contractor services are used to support state employees as follows:

Table 6d. Finance and Administration Service Area

Support Description	Expected Vendor(s)	DDI v M&O
Financial Administration and Governance	KPMG	DDI
Finance Budget Management	KPMG	DDI

Financial Administration, Governance, and Budget Management

EOHHS provides staffing for UHIP Finance that is accountable for contract oversight, procurement, budget and finance for UHIP. This internal staffing is supported by a small group from KPMG that provides direct support for UHIP Finance in terms of report development and budget tracking. In addition, this group is supporting the implementation of the target operating model. This contract is currently scheduled to run through the end of FFY 2021 (September 30, 2021).

The State’s Department of Administration provides procurement support in this area with a staff person in the purchasing department.

DoIT, the state’s information technology, has hired several people who provide expertise in IT vendor procurement, contracting, and oversight. Under the leadership of the State's Chief Information Officer, the Department was reorganized and a Vendor Management Office (VMO) developed. The VMO has a Statewide IT scope, serving all departments in State government. The VMO is focused broadly on strategic sourcing, contract management, vendor management, and vendor governance across all IT projects in the State. The VMO will coordinate between legal, purchasing, agencies and vendors and is currently developing a three-tiered governance model for executive, operational, and project-level oversight.

With respect to UHIP, the VMO team is working closely with UHIP Finance to coordinate the development of VMO governance in the context of UHIP governance. The VMO is taking an incremental approach as it develops its model and as capacity allows. Examples of VMO and UHIP Finance coordination include: reassignment of contract manager roles for CSG and IBM to VMO staff; agreement on roles, responsibilities, and process related to procurement and contract management; collaboration on contract review and re-negotiation; and VMO-led M&O vendor re-procurement process. In addition, the team has produced a procurement forecast for UHIP for inclusion in ongoing budgetary planning and oversight.

Project Oversight – Process – Enterprise Project Management Office (EPMO)

The following table provides an overview of the EPMO contract support anticipated for FFY 2020.

Table 6e. EPMO Service Area

Support Description	Expected Vendor(s)	DDI v M&O
EPMO Execution and Governance Strategy	IBM, now KS	DDI
Business Prioritization	KS and IBM, now KS	DDI
KPI Measurement & Monitoring	IBM and KPMG, and now KPMG and KS	DDI
Theme Management	IBM and now KS	DDI

The State EPMO provides project management support to the theme teams, as well as to general EPMO governance activities. The primary responsibilities of the project managers (PMs) include the following:

- Monitor the inflow of new problem tickets
- Align new problem tickets to business capabilities
- Prioritize problem tickets and business capabilities
- Assess patch scope and provide feedback based on timelines
- Ensure all solutions are reviewed and approved in JIRA
- Maintain workplans to be sure tickets are solutioned according to key deadlines
- Manage the review of proposed cancellations
- Review and approve requirements for small BRRs allocated to Patches

Some of the key deliverables of the PMs include the following:

- JIRA Dashboards maintained for each theme
- Problem tickets aligned and prioritized to business outcomes

- Risks and Issues documented in JIRA and escalated as appropriate
- Solutions for problem tickets documented and approved

In addition, a limited amount of PM support is being leveraged across the PMO to assist in the day-to-day activities in partnership with the DDI vendor's PMO.

PMs are primarily sourced from KS and are aligned to the most critical themes and programs. They partner closely with the business analysts, the IT Agency Leads and the Deloitte Track Leads. The Enterprise PMO Lead, Lori Rota, is contracted through KS, formerly NG. As covered in section eight, our IT lead, Jim Ritter, is also contracted through KS, formerly NG. The State will engage in regular reviews of contract resourcing levels and make reductions to align capacity with demand. We will continue to evaluate existing project management resources.

The State will continue to utilize contracted Business Analysts to better support agencies and program administrators throughout the SDLC process, by aligning them to the major programs within each of the Major Releases.

The primary responsibilities of the Business Analysts (BAs) include the following:

- Determine business goals and success measures for each enhancement
- Document current end-to-end process steps and flows
- Identify design decisions requiring Executive input
- Develop scenarios and use cases
- Document requirements in BRRs and attach relevant documents and workflows
- Assist in prioritization of requirements
- Validate the requirements through "day-in-the-life" sessions
- Facilitate the review and approval of Business Requirement Document (BRD) and Functional Design Document (FDD) changes
- Help to develop the Operational Readiness Assessment
- Assist in the change management activities
- Monitor post implementation issues and facilitate project acceptance

The PMO is also providing resources to assist in KPI support, which includes reviewing samples, researching failures and producing monthly updates.

BAs are primarily sourced from FCG and KS with certain KPI support provided by KPMG. Most have prior experience working for the State of Rhode Island or in other related roles for State or federal partners.

Planning for Long-Term Support Levels

Since the launch of phase two, significant progress has been made to stabilize RIBridges and ensure Rhode Islanders have timely access to benefits. Further stabilization and maturity continue to be a focus, along with achieving compliance with federal and State requirements. The State developed an overall framework for resource planning that is based on system development estimates. A process is in place to assess the budget compared to actual spending and to review ongoing project resource requirements. State leadership reviews and controls costs while meeting operational needs on the UHIP project. This

requires ongoing analysis and decision-making. The State will continue to explore opportunities to pare down contracts and shift to State resources whenever possible.

7-Project Management, Planning, and Procurement

As has been highlighted in section 2, the State has made great improvements during FFY 2019 with regards to project management and planning. The State has also strengthened its UHIP procurement processes during this time period. FFY 2020 and beyond will see the benefits of these improvements as several of the processes were implemented during the second half of FFY 2019 reach full maturity and several more initiatives are implemented. Section 3 highlights areas that will be implemented during FFY 2020. The focus of this section is to provide an overview of the current project governance structure. This includes aspects of project management, planning, and general procurement.

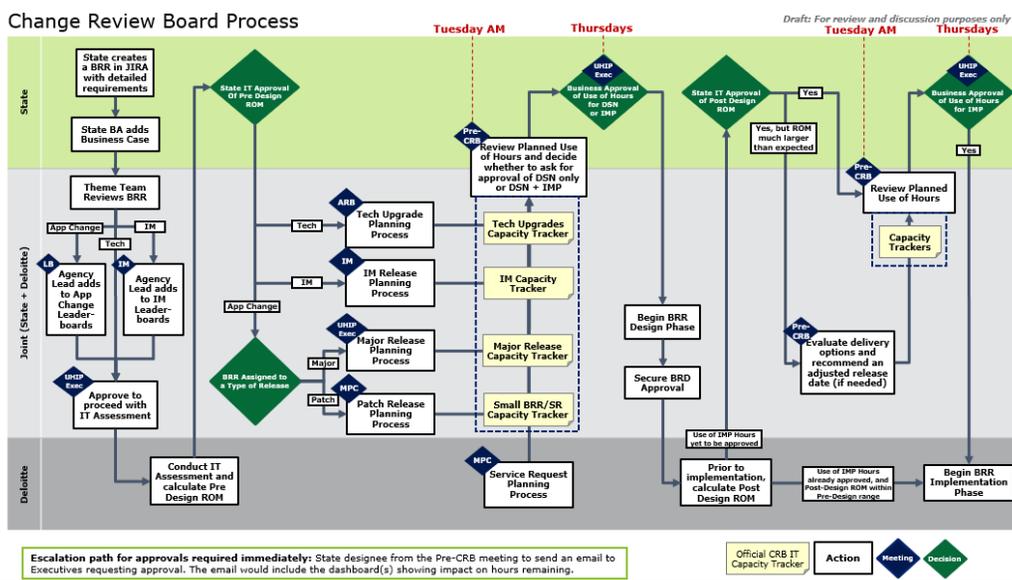
The current project governance structure is now, ultimately, fully accountable to the Executive Committee. The Executive Committee has also added an Executive Project Management Officer (EPMO) for the project. The EPMO is responsible for working with both the UHIP finance team and the technical/theme teams to ensure that the Executive Committee is properly informed and able to make educated decisions.

Release Planning, Release Management, and Quality Management Processes

Release Planning and Change Review Board (CRB) Authorization

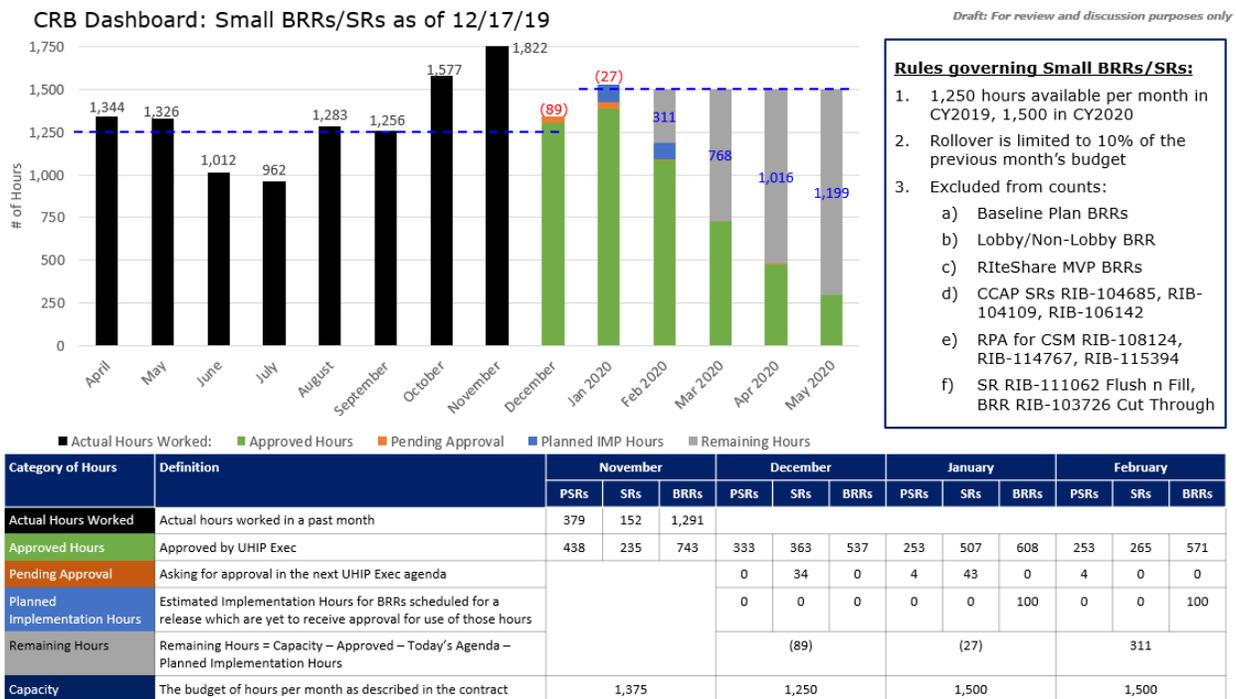
The CRB continues to play a key role in the overall governance of the project by authorizing the use of budgeted hours in support of the release planning and prioritization processes across Major Releases, Patch Releases, IM Releases and Technical Upgrades as illustrated in table 7a.

Table 7a. Overview of the Change Review Board Process



Improvements were made to the tracking and reporting of hours in support of the revised CRB process. New reports showing proposed, projected and actual hours are provided to facilitate the process to ensure work aligns within the budgeted hours. A sample of the report is shown below in table 7b. Another recent improvement to the process includes the addition of the State IT Approval of all Pre-Design ROMs prior to CRB review. In addition, the Joint IT Team is continuing to enhance the Rough Order of Magnitude (ROM) process including holding high-level requirements information sessions with the business where needed to clarify outstanding questions prior to completing the hours estimates. The CRB continues to meet at least bi-weekly to review all reports and to make any required decisions prior to work commencing.

Table 7b. Example of CRB Report



Major Release Planning Process:

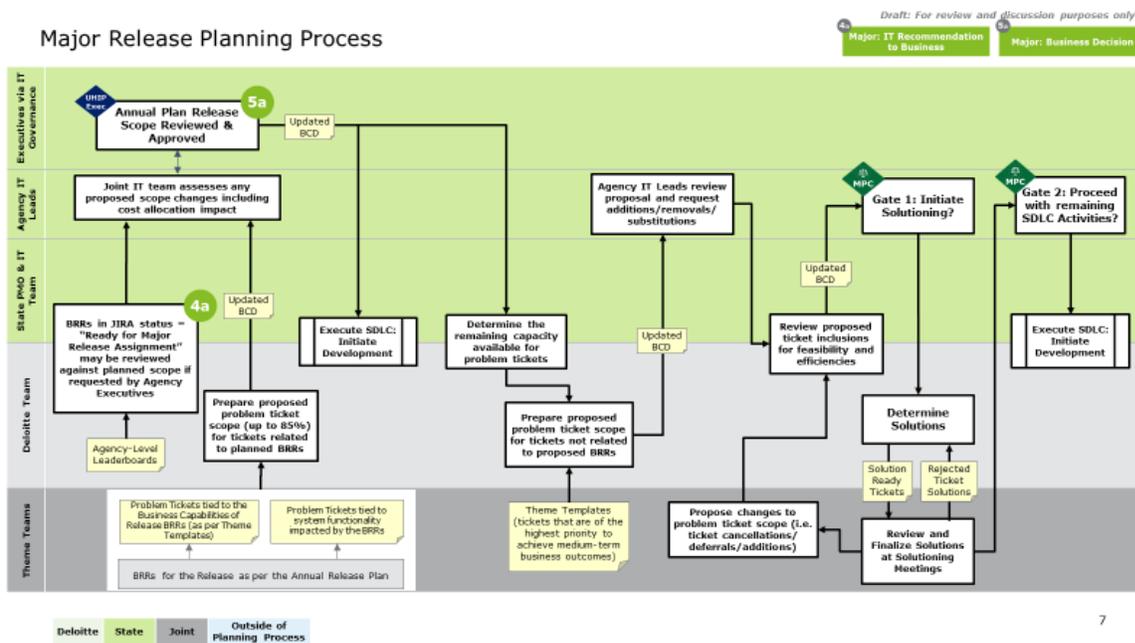
The updated prioritization / annual planning process is first discussed in section 2 of this IAPD-U. The main improvement to the annual planning process has been the shift towards focusing on the prioritization of business outcomes rather than specific BRRs to ensure the delivery of end-to-end solutions to the business. Having clearly articulated business objectives and then identifying the system enhancements and process changes required to achieve those outcomes, the Joint IT team was more effective in bringing forward different scope options to be considered as input to the annual planning process. It also provided the executives with valuable information, which informed their final decision-making process regarding the outcomes to include in the final version of the plan. As stated previously, cost allocation was a key consideration throughout the planning process to ensure program targets were met.

The Annual Plan defines the enhancement / DDI scope for the 3 Major Releases (December 2019, March 2020 and July 2020). Any future changes to the Annual Plan will be brought through the formal governance

process which will include an impact assessment of any proposed changes on the cost allocation. As part of the requirements phase of each Major Release, we have included additional Executive Reviews and demos, where applicable, in order to set the overall direction and to provide appropriate guidance to the teams to ensure business objectives are met with each release.

Problem ticket scope for Major Releases will continue to follow the current process whereby proposed scope of the highest priority defects either aligned to the BRRs in the release or as defined by the theme teams will be brought to the Executive Committee for final approval. Once approved, any changes in problem ticket scope will be managed and reported through the weekly MPC process. The following diagram illustrates the process for Planning the Major Releases.

Table 7c. Major Release Planning Process



Patch Release Planning Process:

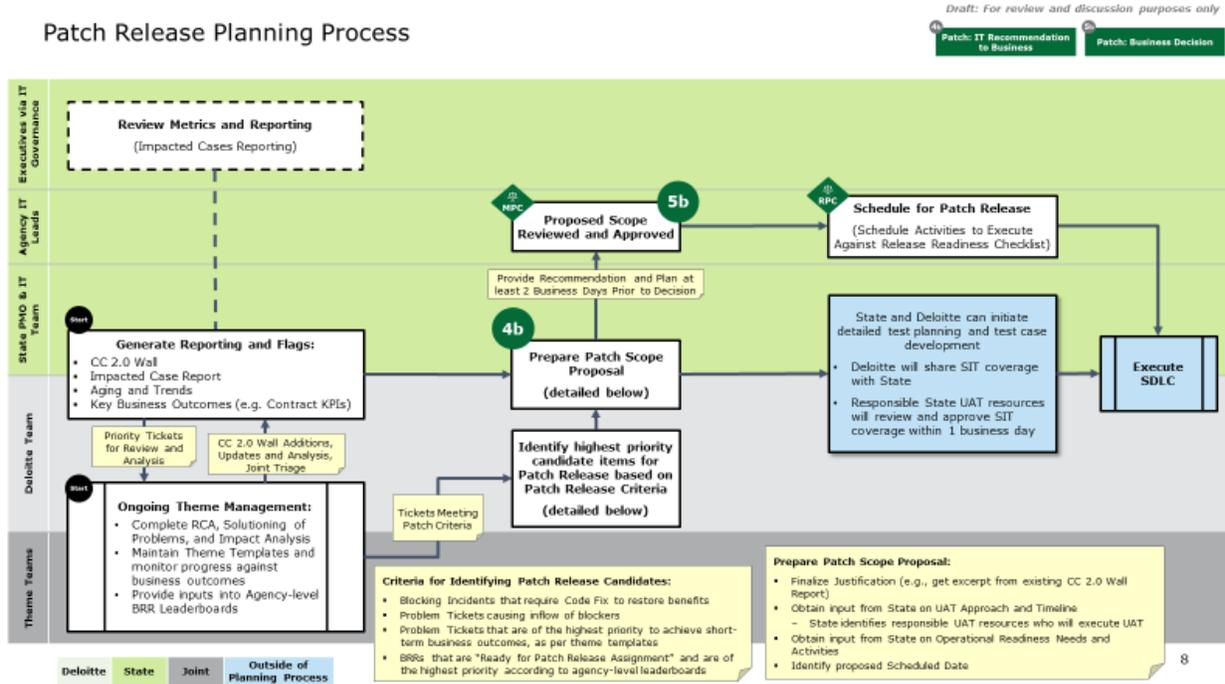
In addition to identifying enhancement priorities for the Major Releases in FFY2020, the Joint IT Team evaluated the release schedule and the problem ticket velocity proposed for calendar year 2020 based on the schedule tenets outlined in the Release Management Document. The plan is to continue with monthly Patch Releases which will include problem tickets and small BRRs which have been prioritized via the Leaderboard process and approved by the CRB.

As outlined in the release management document, Theme Teams continuously prioritize problem tickets by aligning them to business capabilities and listing them in priority sequence. This process occurs throughout the calendar year irrespective of specific release planning activities. The prioritization data is captured in JIRA which enables the Theme Teams to leverage dashboards to monitor their tickets and address new items awaiting prioritization.

Proposed scope for Patch Releases is shared at MPC and in JIRA to allow review by the Theme Teams and Agency Leads. Once business approval is obtained on the scope, the State reviews UAT coverage and

provides final approval to proceed with development. All scope is tracked and monitored in JIRA. Once approved, any changes in problem ticket scope will be managed and reported through the weekly MPC process. Please refer to the workflow as shown in Table 7d.

Table 7d. Patch Release Planning Process



IM Release Planning Processes:

As part of the rollout of the revised CRB process, some significant improvements were made to the IM Release planning process including the following:

- Business cases developed in support of IM BRRs
- Top priority IM BRRs added to Agency IM Leaderboards and reviewed weekly
- Joint IT Team reviews priorities and proposes release options
- CRB reviews proposed scope and authorizes hours prior to development
- Problem Tickets are prioritized and approved by the business prior to adding to a release

IM Releases have been aligned with the Monthly Release schedule and are being tracked by a new IM Release Scorecard. UAT coverage for IM defects and BRRs are being reviewed at MPC to ensure resources are aligned to perform the necessary validation to meet release timelines.

Tech Upgrade Release Planning Process:

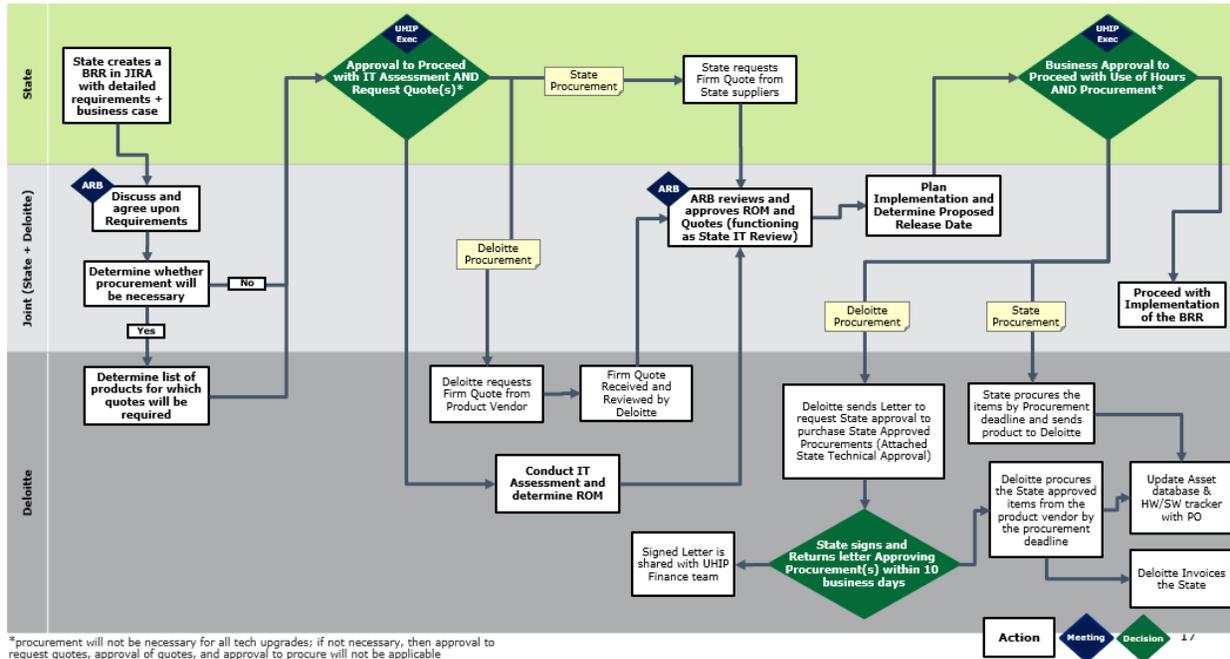
The Joint IT Team continues to use the Tech Upgrade release planning process illustrated below in Table 7e. Tech upgrades are unique in that they typically coincide with the procurement of additional RIBridges hardware or software. As a result, this process flow includes contractual steps that are necessary to

complete those procurements alongside the tech upgrade planning and implementation process. Moving into FFY 2020, the joint team will continue to work on refining the Tech Upgrade release planning process and any changes will be reflected in the Release Management Plan once they've been finalized.

Table 7e. Tech Upgrade Planning Process

Tech Upgrades: Process for Approval of Use of Hours + Procurement

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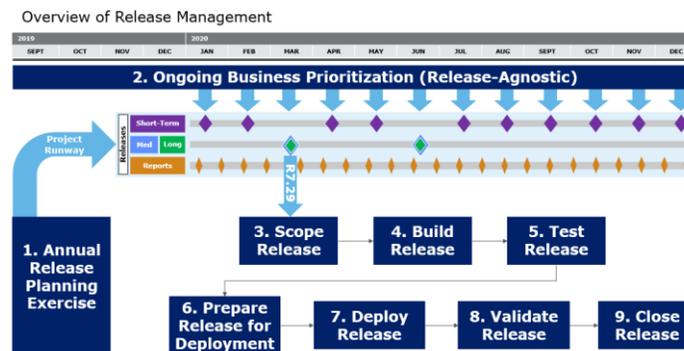


*procurement will not be necessary for all tech upgrades; if not necessary, then approval to request quotes, approval of quotes, and approval to procure will not be applicable

Release Management

Release management is a critical component for project management, planning, and procurement as it provides a governance structure for RIBridges releases. The following diagram depicts a high-level overview of the current release management process. The Release Management Plan document was produced and shared with FNS and CMS in November 2019. This important document provides additional detail regarding the release management practices deployed across the UHIP project.

Table 7g. Release Management Overview



The process shown above is extensively documented in a detailed release management plan document. The plan provides a structured approach to release management including: release planning, business prioritization, and the end-to-end activities to plan, build, test, prepare, deploy, validate, and close each release. This detailed process has impacted all elements of the UHIP project and critical elements of this IAPD-U including the statement of needs and objectives, nature and scope of activities, and the cost allocation sections. The entire release management document has become an important source of reference for UHIP. However, there are several sections that are of particular importance shown in the following paragraphs.

Release Type Definitions

Section 2 of this IAPD-U provides a listing of the release types that are currently recognized by the governance structure. Major releases, patch releases, and hot fixes are all defined in the release management document. In addition, these release types form the framework for the current UHIP naming convention for all releases. The naming convention is structured as follows:

Table 7h. Release Naming Convention



Preparation for Release Deployment

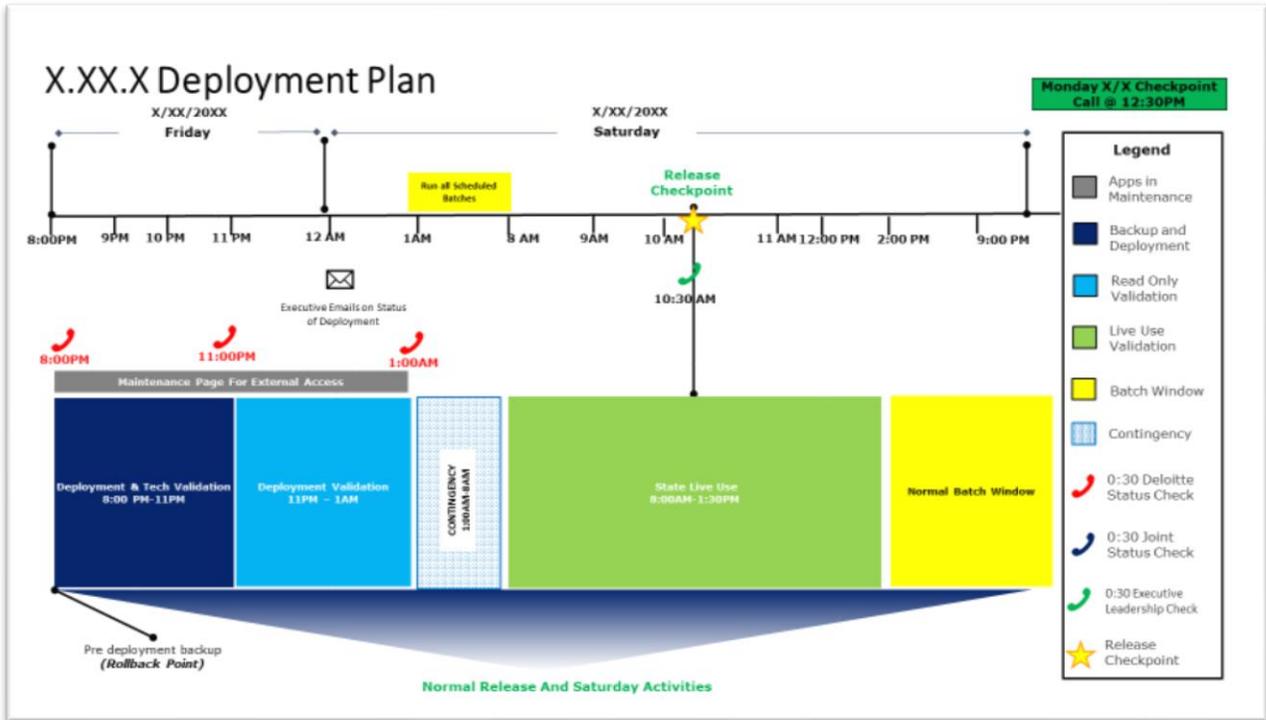
Following the approval of release date and scope, the standard checklist is prepared and updated specifically for the release in order to schedule, facilitate and track all release deliverables/documentation required for a successful implementation. The checklist provides a ready status such that all items are accounted for, reviewed and approved prior to the deployment.

The checklist has three categories:

- Pre-Implementation Validation: All items must be complete prior to start of deployment activities
- Business Operations Readiness: All items must be complete prior to start of deployment activities
- Post-Implementation Validation: All items must wait until deployment activities are complete

The following overview provides a high-level view of the timeline that is created for each release.

Table 7i. Deployment Timeline Document



The importance of the release management process cannot be underscored. This process has established important teams like the Release Planning Committee and tools such as the leaderboard and release checklists. The evidence of this process’s effectiveness can be found in the short-term results showing reductions in release deficiencies; however, it is expected that the long-term benefits of this thoughtful approach to release planning we reap even greater benefits in overall system progress and operational efficiencies.

Accountability and Procurement Processes

The state has developed many ways to track progress on release planning and achievement of business outcomes. The following are just a few of the artifacts generated to ensure adherence to project plans and quality:

- **Executive Status Report:** The weekly executive status report provides a summary-level review of the project and publishes key progress updates for the week including metrics associated with tracking business outcomes, impacted cases, and problem management. It also provides a summary of the status of each release and highlights key action items and escalated risks or issues.
- **Joint Triage Scorecard:** The joint triage process described in section 2 of this document produces an extensive scorecard on a weekly basis. The scorecard is centered on incident measurement and management. It provides leadership with detailed data on areas such as incident inflow rates, incident process rates, and agency incident rates.

- **Theme Templates:** The theme teams maintain their templates which depict the business goals for the theme, the key team members, the business capabilities (in priority sequence), the BRRs, Problems, Service Requests, and Data Fixes required to deliver each capability. Risks and issues for the theme are tracked on the template as well as other key dependencies. Templates are maintained in SharePoint and updated as needed during theme meetings. Theme teams also leverage theme dashboards in JIRA to monitor the status of their tickets and show alignment to business capabilities and prioritization.
- **JIRA Release Dashboards:** A JIRA dashboard is developed for each release once the final scope is approved. The dashboard shows real-time changes to any tickets associated with a release. Teams use these dashboards to track the status of every component within the release. If scope changes are approved at MPC, the dashboard reflects those changes as well. JIRA dashboards are also used to review proposed scope for upcoming patches to facilitate the approval process.
- **Release Scorecards:** Scorecards are updated weekly and reviewed at IRC for each Major Release. In addition, a summary scorecard for the Patch Releases and the IM Releases are also produced. These scorecards highlight the key dates, the current status of each phase of the SDLC as well as any critical issues which require discussion or escalation.
- **Project Runway:** The runway depicts the details for the major projects contained within each release. The project runway is reviewed weekly at Release Planning Committee (RPC). The RPC reviews the details to ensure any technical dependencies or issues pertaining to a given release are surfaced and addressed.
- **Post-Implementation Evaluation Review:** After each release, Deloitte produces a report that evaluates the implementation and whether the objectives of the release were met. The report references key metrics and contract KPIs to measure the impact to the business.

One of the most critical achievements in the UHIP project's improved purchasing processes has been the inclusion of KPIs, SLAs, and Service Level Objectives (SLOs) in updated contractual documentation with vendors. These tools provide the State project managers the ability to truly ensure that contractors are delivering services and products in accordance with business requirements. In the case of Deloitte's contract amendment 47, most of the SLAs now include financial penalties for missing targets. Critical to achieving full compliance will be the achievement of the KPIs set forth in CA 45 and continued into CA 47 as M&O KPIs. These KPIs fall under four categories:

1. Disburse benefits in a timely, accurate manner;
2. Users can process applications without interruption by system deficiencies;
3. Generate and issue accurate client notices on time; and
4. All legal and regulatory requirements are satisfied.

While these are not the only business outcomes tracked that show the health of the system and underlying operations, they are important metrics for the system and compliance.

The full detail associated with these KPIs is provided in Attachment E.

In addition to the KPIs above a robust set of SLAs was developed as part of Deloitte's CA 47. The SLAs fall into the following categories:

1. Business Continuity
2. Software Deficiency
3. Open Enrollment Discrepancies
4. Development Quality
5. UAT Pass Rate

The full listing of SLAs is provided in Attachment F.

The State believes that all Contract KPIs, as well as business outcomes defined outside the contract and shared with CMS and FNS, taken together ensure that the business can properly and completely use the system.

Now that good contractual protections have been established, the State recognizes the importance of vendor monitoring. In developing a more robust vendor management program, the State has instituted vendor reviews that must take place at least monthly. These review meetings allow for overall discussions of work performed, deliverables met, and KPI/SLA reporting to be assessed. Major contract activities are combined with budget to actual monitoring and presented to the UHIP Executive Committee on a monthly basis. In addition, two vendors, KPMG and KS are currently contracted to assist the UHIP management group in further managing internal project KPIs as well as refining and maintaining financial reporting data for the project.

Overall, the effort spent during the past two fiscal years is expected to come to maturity during FFY 2020. The recent refinements to the overarching governance process as well as the further development of administration and financial management capabilities will become evident in the coming fiscal year. These developments have established a formal framework for successful project management but in order to ensure that these efforts are applied correctly it is critical that proper resources are attributed to project governance during the coming fiscal year.

8-Personnel Resource Statement

The State is providing an estimate of total staffing requirements and personnel costs in Attachment C. Included are all State staff, their organization and job title, the percent allocation to UHIP, whether they are DDI or M&O, their salary, the cost-allocation applied, and total UHIP allocation. Included in this is a complete list of DHS field staff with an allocation to UHIP based on the Random Moment in Time Study (RMTS) as detailed in section 10.

Please see the table below for a listing of key personnel on the project.

Table 8a. Key Project Personnel Listing

Key Personnel	Agency	Title	Responsibilities
Courtney Hawkins	DHS	Director	Project Sponsor
Lindsay Lang	HSRI	Director	Leadership
Benjamin Shaffer	EOHHS	COO and Acting Medicaid Director	Leadership
Chirag Patel	DOIT	Chief of IT: Agency and Enterprise Applications	UHIP IT Oversight and Leadership Management
Matt Stark	EOHHS	CAO	Finance, Resource & Contract Oversight
Maureen Wu	EOHHS	UHIP CFO	Budget, APD
Lisa Martinelli	EOHHS	In House UHIP Counsel	Legal
Bijay Kumar	DOIT	Chief Digital Officer	Oversight of IT Leadership
Jim Ritter	DOIT	IT Executive Contracted	Lead IT Program Life Cycle and IT Project Execution
David Levesque	EOHHS	Chief Strategic Planning, Monitoring and Evaluation	Communications
Lori Rota	DOIT	UHIP Enterprise PMO Lead	Executive PMO and KPIs

9-Proposed Budget

For this IAPD update, Rhode Island is asking for federal approval for the full FFY 2020 project budget and related cost allocations. Note the DDI integrated solution allocation methodology that begins January 1, 2020 has been revised as noted in section 10. The October 1 - December 31, 2019 quarter was approved as part of the FFY 2019 cost allocation.

The State understands that this budget request and subsequent approval does not constitute contract or contract amendment approval. Federal funds will not be expended on individual contracts until federal approval is received.

The State affirms that the requested amounts are solely for salaries, benefits, and direct costs listed below. Indirect costs are not included in this budget request. Postage and other non-admissible items are also excluded from this budget request.

Table 9a below shows the overall project budget for federal and State shares, as well as DDI and M&O, requested as of January 31, 2020, with a comparison to the amount submitted on July 31, 2019. The total budget shown includes the FFY 2021 projected budget. The most significant change to the overall budget presented is the contract reductions for FFY 20.

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Table 9a. IAPD-U Changes from May 2019 to July 31, 2019 Submission

IAPD-U Changes From July 2019 Submission to FFY 2020 Submission			
	Total Cost	Federal Share	State Share
DDI			
DDI (July 2019 Submission)	400,491,106	334,999,314	65,491,792
DDI (Changes to FFY 20 July Submission)	(4,543,734)	(2,451,304)	(2,092,430)
Total Updated DDI	395,947,372	332,548,010	63,399,362
M&O			
M&O (July 2019 Submission)	255,519,857	167,031,804	88,488,053
M&O (Changes to FFY 20 July Submission)	(4,473,040)	(2,839,550)	(1,633,490)
Total Updated M&O	251,046,817	164,192,254	86,854,563
Total IAPD-U Request	646,994,189	496,740,264	150,253,925

The overall project budget through FFY 2021 is estimated to be \$646,994,189, of which \$496,740,264 is the expected federal share, and \$150,253,925 is the expected State share. Please see Attachment B for a budget summary by Federal Fiscal Year. As with previous IAPD submissions, please see Attachment C for details on personnel, and Attachment D for a breakdown of total budget by quarter for FFY 2020 which has been updated for this submission.

The following table provides details of the FFY 2020 budget by service area:

Table 9b. FFY 2020 Budget by Service Area

Rhode Island UHIP Project Budget for FFY 2020					
Components	RI Bridges		Project Management		
Sub Components	Business Functions	Technical Functions	Administration	Process	
Service Areas	Agency Support	UHIP IT Management	Finance and Administration	EPMO	Total
FFY 2020 Budget for DDI					
State Personnel	\$2,701,786	\$687,144	\$510,663	\$0	\$3,899,594
Contractors	\$6,092,381	\$18,336,106	\$911,278	\$1,579,912	\$26,919,677
Hardware/Software	\$0	\$483,333	\$0	\$0	\$483,333
Total DDI Budget	\$8,794,167	\$19,506,583	\$1,421,941	\$1,579,912	\$31,302,604
FFY 2020 Budget for M&O					
State Personnel	\$9,977,210	\$114,012	\$0	\$0	\$10,091,224
Contractors	\$12,359,360	\$21,450,094	\$0	\$544,000	\$34,353,454
Hardware/Software	\$0	\$0	\$0	\$0	\$0
Total M&O	\$22,336,570	\$21,564,106	\$0	\$544,000	\$44,444,678
Total Budget FFY 2020	\$31,130,737	\$41,070,689	\$1,421,941	\$2,123,912	\$75,747,282

The following table provides a view of the budget organized by total contractor dollars:

Table 9c. FFY 2020 Budget by Contractor

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Vendor Name or Service Type	Total FFY 2020 Budget
AHS	\$ 11,373,251
CSG	\$ 1,406,336
Deloitte	\$ 24,384,008
DXC	\$ 1,163,283
Faulkner (FCG) Ops	\$ 2,485,323
Faulkner (FCG) Strategy	\$ 2,001,530
IBM	\$ 332,455
IRG	\$ 106,971
Knowledge Services	\$ 4,065,697
KPMG	\$ 12,427,944
NGIS	\$ 884,932
Non-Deloitte Hw/Sw	\$ 483,333
Notice Production	\$ 400,000
Other M&O	\$ 241,402
State Personnel	\$ 13,990,817
Grand Total	\$ 75,747,282

The following provides a listing of contractors mapped to service areas with corresponding budget components.

Table 9d. FFY 2020 Budget by Service Area and Contractor

Admin and Finance	Vendor	Description of Work	FFY 2020 DDI	FFY 2020 M&O	FFY 2020 Total
Admin and Finance	KPMG	KPMG is responsible for providing subject matter guidance related to the UHIP finance and administration governance structure. In addition, KPMG is also providing support in updating the budget and financial reporting tools that are currently utilized by the UHIP leadership teams.	\$911,278		\$911,278
Admin and Finance	Sub-total		\$911,278	0	\$911,278

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Agency Support	Vendor	Description of Work	FFY 2020 DDI	FFY 2020 M&O	FFY 2020 Total
Agency Support HSRI	AHS	AHS services include all contact center walk-in and call support.		\$11,108,159	\$11,108,159
Agency Support OHHS	DXC	DXC is the EOHHS Medicaid fiscal agent. DXC manages the core MMIS and ancillary systems covering the transactions between RIBridges and MMIS. This work includes issue identification, analysis, and tracking to resolution. This contract is slated to end June 2020.	\$1,163,283		\$1,163,283
Agency Support HSRI	Faulkner (FCG) Ops	This work is organized into three tasks designed to provide agency support. The three tasks are providing operations management team support, tier two customer issue escalation, and other professional services such as communications support.	\$1,793,103	\$692,220	\$2,485,323
Agency Support HSRI	Faulkner (FCG) Strategy	FCG provides support for ongoing system delivery and stabilization for MAGI Medicaid and commercial insurance programs including:	\$441,783	\$558,982	\$1,000,765

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		establishing workarounds for functionality that is not yet implemented; supporting the SDLC process from start to finish; validating releases to ensure successful code merges; and identifying gaps as reported through customer facing channels.			
Agency Support HSRI	KPMG	KPMG provides implementation support through post release validation and QA of KPIs for Medicaid and HSRI	\$117,648		\$117,648
Agency Support OHHS	Faulkner (FCG) Strategy	The FCG SDA team supporting Medicaid supports ongoing development of tools for reporting including dashboards; enhancements to RIBridges; UAT of RIBridges; implementation support for RIBridges data reconciliation with program; LTSS implementation support for interim payments.	\$1,000,765		\$1,000,765
Agency Support DHS	Knowledge Services	DDI team members are responsible for leading and supporting the continued stabilization of Rhode Island's integrated eligibility system	\$420,480		\$420,480

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		(IES) and implementation and maintenance of a high-performing technical support team for the agency. They utilize experience in complex system transformations, strategic planning, systems development lifecycles, and staff / department management. They are also responsible for analyzing reporting deliverables, reconciliation of reporting files to ensure accurate data is transmitted to and from federal and state authorities, assisting with reporting and information management (IM) Service Requests (SR) and BRR (system enhancements) prioritization and completion.			
Agency Support DHS	KPMG	Team members provide technical assistance to the IT Systems & Support Team to support all DHS programs quality control. Provide technical expertise, recommendations, and testing coverage in key	\$883,020		\$883,020

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		areas such as Production Support, Dry Run Validations, Post Release Validations, UAT, Daily Joint Triage, Security Compliance, and related areas as required.			
Agency Support DHS	NGIS	Responsible for day-to-day organization and management of DHS theme/solutioning meetings. Responsible for tracking, solutioning, and prioritized business requirements requests, problem tickets (defects), service requests, data fixes, and incident tickets for DHS programs/themes. Creates and manages theme dashboards in Jira and provides overall Jira expertise and support for any system needs. Assists with leaderboard prioritization and release planning. This contract ended 12/31/19 and remaining work is distributed among DHS vendors or personnel.	\$272,298		\$272,298
Agency Support	Sub-total		\$6,092,381	\$12,359,361	\$18,451,742

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Executive PMO	Vendor	Description of Work	FFY 2020 DDI	FFY 2020 M&O	FFY 2020 Total
Executive PMO	IBM	These resources will have the ability to facilitate and lead pre-requirements phase with the state SMEs to document business requirements as well as determine supporting business operations workflows. The IBM contract ended December 2019. In January 2020 three business analyst role that had been contracted by IBM moved to the Knowledge Service contract.	\$277,880		\$277,880
Executive PMO	Knowledge Services	These resources will be responsible for covering all problem tickets for their assigned agencies. The EPMO lead moved from the Northrup Grumman contract to KS effective 7/1/19. The NG contract ended 12/31/19 and senior business analyst and project manager moved to KS in January 2020. In addition, two project managers moved from the IBM contract to the KS contract in January 2020 and	\$1,167,172	\$144,000	\$1,311,172

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		an IBM business analyst role is also slated to move to KS.			
Executive PMO	KPMG	This resource will provide overall QC on KPIs or other metrics	\$39,216		\$39,216
Executive PMO	NGIS	These resources will provide ongoing support for PMO activities including deliverables management, PMOC oversight & escalation, metrics and reporting, and other administrative tasks. The NG contract ended 12/31/19 and senior business analyst and project manager moved to KS in January 2020.	\$95,645		\$95,645
Executive PMO	Sub-total		\$1,579,912	\$144,000	\$1,723,912
UHIP IT Mgmt.	Vendor	Description of Work	FFY 2020 DDI	FFY 2020 M&O	FFY 2020 Total
UHIP IT Mgmt	AHS	AHS will provide additional UAT test execution.	\$265,092		\$265,092
UHIP IT Mgmt	CSG	CSG serves as the Independent Verification & Validation (IV&V) vendor for the UHIP project. Work includes monthly and quarterly application, database, and network security assessments, security code scans, and MARS-E attestations. The M&O portion of	\$816,353	\$589,983	\$1,406,336

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		this work is related to reporting and security.			
UHIP IT Mgmt	Deloitte	Deloitte is the eligibility system integrator for RIBridges. Deloitte is responsible for development activities of architecture and infrastructure, hardware and software, production hosting, electronic data collection and rules engine, plan management, implementation support, and training. In addition, Deloitte must provide M&O services of system hosting and maintenance.	\$4,279,694	\$20,104,314	\$24,384,008
UHIP IT Mgmt	IBM	IBM provided the state's release manager and ended December 2019 and this role moved to Knowledge Services	\$54,575		\$54,575
UHIP IT Mgmt	IRG	IRG provided contract management assistance along with assistance in developing the M&O RFP. This role will be procured through Knowledge Services in 2020.	\$106,971		\$106,971
UHIP IT Mgmt	KB Maker	KB Makers provides strategic executive consultation on			\$0

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		the IES vendor contract. This contract ended 1/20/2020.			
UHIP IT Mgmt	Knowledge Services	Provides the resources for the office of IT program management as well as the actual IT program management director. Roles from the NG contract include the IT Lead who began in July, and the Security Specialist and Sr. Business Analyst as well as the Enterprise Architect who began in January 200. A data analyst began in July who was previously with Freedman. The UAT Lead and Release Manager from MPA-230 and IBM began in November and December respectively. All roles are DDI except for the Security Specialist and Sr. Business Analyst which are M&O.	\$2,011,658	\$322,388	\$2,334,046
UHIP IT Mgmt	KPMG	KPMG provides UAT technical assistance which includes developing UAT plans, scripts, and test data. The service also includes UAT execution. The	\$10,476,782		\$10,476,782

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		state provides substantive staff resources to participate in all UAT activities and is responsible for the final acceptance of all system releases.			
UHIP IT Mgmt	NGIS	NGIS was providing the IT Management team with support in the areas of system security, system architecture, and IT operations including batches, interfaces and performance. This contract ended December 2019 and these roles were procured through Knowledge Services	\$324,982	\$192,008	\$516,990
UHIP IT Mgmt	Notice Production	This budget category covers the production of all system-generated notices from the RIBridges system in accordance with SMD #16-004. The postage for these notices is not included in this budget.		\$400,000	\$400,000
UHIP IT Mgmt	Other M&O	This budget category is intended to represent general operating costs such as new application forms and licenses. The request does not include funding for postage,		\$241,402	\$241,402

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		indirect costs, or any other costs that are not eligible for 75% FFP from CMS.			
UHIP IT Mgmt	Non-Deloitte Hw/Sw	These funds are intended to cover implementation of an asset monitoring service, Qradar enhancements, and a vulnerability manager.	\$483,333		\$483,333
UHIP IT Mgmt	Sub-total		\$18,819,439	\$21,850,095	\$40,669,534
State Personnel	Vendor	Description of Work	FFY 2020 DDI	FFY 2020 M&O	FFY 2020 Total
State Personnel	State Personnel	State personnel details are displayed in Attachment C of the IAPD-U. These budget lines reflect the state staff required to support the scope of this IAPD-U submission for FFY 2020.	\$3,899,594	\$10,091,223	\$13,990,817
Personnel	Sub-total		\$3,899,594	\$10,091,223	\$13,990,817
Total FFY 2020 Budget	Grand Total		\$31,302,604	\$44,444,678	\$75,747,282

Section 10-Cost Allocation Plan for Implementation and Maintenance Activities

Overview of cost allocation

Rhode Island has made significant improvements in FFY 2019 in bringing the UHIP system to a high level of effectiveness and reliability. Most, but not all, defects have been corrected by the IT vendor. Overall, during FFY 2019, the State has maintained remarkable fidelity to the Baseline Compliance Plan, which has resulted in a significantly improved system and operations. RI is requesting a revision to the currently approved cost allocation targets for Rough Order of Magnitude (ROMs) across the entire calendar year, using the Cost Allocation Methodology (CAM) process, which takes into account program size. As a result of collaboration between IT Operations and Finance, the revised allocation is reflective of an update by program as well as an update to the Medicaid/CHIP allocation.

CMS and FNS approval of a cost allocation rate for DDI integrated solution on average over the 2019 calendar year was very helpful in providing the State with the flexibility to have some releases be more focused toward one or two programs, and balance out the allocation with other releases in the allocation time period. RI was able to put a system and governance process in place to manage successfully to the agreed-upon cost allocation percentages. This has been very effective in helping RI achieve its business priorities in a timely way, managing to a State share, and ultimately contributing to the maturation of the system.

Rhode Island has updated its business priority focus in CY 2020. Therefore, to best meet Rhode Island's upcoming priorities and needs, the State is requesting that the revised cost allocation plan and management processes be approved effective January 1, 2020 for the DDI integrated solutions cost allocation. Rhode Island will continue to use the tools, governance process, and the commitment of the multiple agency directors to manage successfully to these program allocation levels. For the DDI allocations Allocated Medicaid; Exchange/Medicaid/CHIP Allocation; and All Excluding Exchange Allocation, the state will base the allocation beginning October 1, 2019, and continuing through FFY 2020, on unduplicated recipient count on April 30, 2019. As a result of review of the CHIP population, 29,328 individuals who are part of the CHIP Medicaid expansion will be included in the Medicaid unduplicated recipient count effective April 1, 2020. These individuals were previously included in the CHIP unduplicated recipient count.

Rhode Island has finalized the annual plan for FFY 2020. As such, the next step in efficiently monitoring and reporting on the cost allocation rate, as inevitable small modifications are made to the BRR release plan schedule throughout FFY 2020, is to finalize reporting tools which will be updated and reviewed when any modifications are made to ensure RI remains at the approved program allocation for the allocation time period. The reporting tools are a part of the overarching governance process that has been discussed in previous sections. The tools ensure that leadership is aware of the budgetary and cost allocation constraints that exist if a new BRR or priority item requires a change to the Annual Plan.

Rhode Island's overarching UHIP Cost Allocation Plan has historically included the following cost allocation methodology components:

1. DDI integrated solution methodology (software development hours)
2. Medicaid/HSRI/CHIP methodology
3. All excluding HSRI allocation methodology
4. Medicaid only methodology
5. Allocated Medicaid methodology
6. DHS field staff methodology (Random Moment Time Study (RMTS) methodology)
7. AHS call action methodology
8. Duplicate recipient count methodology (for M&O)

All of these methodologies will continue to be utilized during FFY 2020. All methodologies with exception of DDI integrated solution will be applied on a federal fiscal year basis. DDI integrated solution will continue to be applied on a calendar year basis. As noted above, the DDI allocation requested is updated based on the annual plan effective January 1, 2020. All allocations except for Medicaid only are updated per the shift in the CHIP population to Medicaid effective April 1, 2020. Attachment H contains a table of all the allocation methodology components and respective measurement dates.

DDI integrated solution methodology 1 (software development hours)

With the loss of the A-87 cost allocation exception beginning Jan 1, 2019, Rhode Island was approved by CMS and FNS to move from its previously approved lines of code methodology to software development hours as the DDI integrated solution cost allocation methodology. RI predicted a cost allocation percent for each program over calendar year 2019 (CY 2019) based on estimated ROMs and successfully ended the calendar year on target with the predicted cost allocation percentages and the resulting State/federal allocation share. RI’s approved allocation formula was based on DDI release plans for items classified as “Variable” (i.e. new functionality requiring software development or changes, and it did not include predicted hours for baseline compliance software development and modification. Basing the cost allocation percentages on an average of all releases for variable BRRs throughout the calendar year was a key factor to RI’s success in achieving the planned cost allocation percentages for CY 2019, as this enabled the State to have the flexibility to have releases in some quarters concentrated in certain program areas, and releases in other quarters concentrated on different programs. In this way, the State’s timing for business needs was met, while also achieving the cost allocation planning values over the calendar year on average, providing justification for our DDI claiming rates for January 1, 2019 through December 31, 2019. The DDI integrated solution cost allocation in the approved May 2019 submission is:

Table 10.a Approved DDI Integrated Solution Cost Allocation (CY 2019)

DDI Cost Allocation Jan 1, 2019 - Dec 31, 2019	
Medicaid	73.3%
CHIP	8.2%
QHP/Exchange	2.4%
TANF	1.8%
SNAP	5.4%
Childcare	3.5%
GPA	0.0%
SSP	5.4%
Total	100.0%

This IAPD-U requests that the software development hours cost allocation basis be continued from January 1, 2020 through December 31, 2020. This allocation is reflective of RI's ROMs for BRRs to be completed in CY 2020 in which all UHIP programs are benefitting programs. Based on the current planned work for CY 2020, Rhode Island is confident that this revised allocation for 2020 will be managed in a very similar pattern as the State's CY 2019 experience, and is budgeting to this level of funding. Using the process described below, this will be RI's experience through the end of CY 2020.

In continuation of a similar overall methodology from CY 2019, it is important that the software development hours methodology is approved over the entire time period requested (January 1, 2020 to December 31, 2020) as this time period allows for the maintenance of appropriate development hours for each program over the course of the full allocation period with flexibility to appropriately schedule releases throughout that time period. RI is on target for CY 2020. The State will maintain the requested apportionment allocated to each benefitting program, in accordance with the Cost Allocation Methodology (CAM). Each department's director has agreed to maintain this program-specific "budget" of hours which will result in the requested average allocation.

Cost allocation for CY19 included "baseline" BRRs which were excluded from cost allocation. Going forward, the baseline designation is no longer in use. Baseline DDI items in CY19 were excluded from the cost allocation, representing delayed functionality which the integration vendor and the State agreed should have been delivered prior to Phase 2 go live. The IS vendor and the State have agreed that the State has previously been charged for those items and thus the vendor must provide solutions at no additional cost to the State.

The following describes the current governance process of aligning scope to the cost allocation methodology:

- During the process of creating the Annual Plan, the DDI vendor developed ROM estimates for the prioritized scope that was being considered for the plan. For certain BRRs where requirements needed further clarification, Deloitte and State program staff held solution discussions to better understand the business need before creating the initial ROM.
- The Joint IT Team worked with the Joint PMOs to evaluate different versions of the Annual Plan to determine which scope options could be delivered within the budgeted hours while also maintaining the cost allocation targets. A final version of the plan was achieved by striking a balance between delivering top priority business outcomes while remaining on budget. As described in Section 7, any proposed changes to the approved Annual Plan would be governed by this same process to ensure continued alignment to the cost allocation targets.
- In the rare event that a requested change makes it through the governance process, the decision of whether to add a suggested new or changed BRR to the approved Annual Release Plan will be made by the UHIP Executive Committee based on two factors: the business need for the BRR and the impact on the cost allocation/budget. The Directors have decided that any new BRR added to the Annual Release Plan must fit into the cost allocation period's approved federal and State budget, maintaining the approved allocation rate. New BRRs are only approved to be added to

the release plan if a new BRR or combination of adding and subtracting BRRs results in no change to the agreed-upon cost allocation plan.

The underlying premises for the development of the DDI integrated solution methodology is the federally defined Benefit Received methodology. This methodology is in accordance with the federal CAM Toolkit. The goal for the Benefit Received cost allocation methodology is to distribute shared software development costs equitably among the benefitting programs.

Rhode Island agreed to use the following CAM methodology despite the State’s expressed concerns about the equity of this allocation, as it significantly and disproportionately impacts two State-funded programs (HSRI and SSP), each with only slightly greater than 5% duplicated enrollment.

1. **Direct:** Programs which directly and only benefit from a completed DDI request are allocated 100% of these hours, reflecting no change to current practice.
2. **“Common” or Shared:** Business Requirement Requests (BRRs) which benefit multiple programs using the UHIP system are shared as follows:
 - Small programs (under 5% total enrollment) share in costs based on program size. All programs benefitting from each particular BRR are identified. Duplicated program enrollment for each of those programs is calculated in percentages. Small programs are assigned a contribution based on program percentage times estimated BRR hours; and
 - Large programs (over 5% enrollment) are charged by splitting the remaining hours among them equally.

Of the core programs using UHIP (counting Medicaid and CHIP as one program), three are classified as small (under 5% duplicated caseload) and four are classified as large, as shown in the following table:

Table 10b. Duplicated Program Enrollment for Core Programs

December 30, 2020 Duplicated Program Enrollment			
Program	Enrollment	Percent	Designation
Medicaid	320,361	61.00%	Large
CHIP	1,374	0.30%	Small
TANF	8,914	1.70%	Small
SNAP	151,822	28.90%	Large
Childcare	9,171	1.70%	Small
GPA	164	0.00%	Small
SSP	33,655	6.40%	Large
Total	525,461	100.00%	

This table reflects one change from the prior submission. The 29,328 CHIP Expansion individuals who were previously included in the CHIP program have been corrected to the Medicaid program. The prior two changes that were included in the July submission remain. In the past, RI was, in error, not including Medicaid partial eligibles, such as Extended Family Planning, as enrollees in UHIP. All Medicaid populations enrolled in UHIP are now included in the enrollment total. In addition, in the past year, Small Business Health Options Program (SHOP) was “decommissioned” out of UHIP, so SHOP enrollees are no longer reflected in the HSRI UHIP enrollment counts.

In justifying the requested DDI integrated solution cost allocation for January 1, 2020 to December 31, 2020, the State has calculated the development hours which each program will be allocated for all “direct” and “shared” costs in accordance with the CAM methodology, using the large program/small program process already described in this section. Direct costs include BRRs where one program will benefit, and all the hours are allocated to that one program.

The Duplicated Program Enrollment table above will be aligned to the DDI integrated solution cost allocation from January 1, 2020 through December 31, 2020.

Rhode Island is requesting the below allocation for CY 2020.

DDI Cost Allocation	
Jan 1, 2020 - Dec 31, 2020	
Exchange	4.2%
Medicaid	83.0%
CHIP	0.4%
TANF	0.3%
SNAP	7.6%
Childcare	0.3%
GPA	0.0%
SSP	4.2%
Total	100.00%

This will be carefully monitored throughout the year in accordance with the DDI integrated solution cost allocation methodology described below:

- Planned development hours (ROMs) will be identified for potential new BRRs for the period January 1, 2020 through December 31, 2020.
- ROMs will be attributed to benefitting program or programs.

- ROMs benefitting all programs will be divided among those benefitting programs, using the small program/large program methodology described earlier in this section. This methodology has been used to monitor the CY 2019 cost allocation for the UHIP DDI integrated solution, and will also be used for this allocation method for the State’s next cost allocation period of January 1, 2020 to December 31, 2020.
- The resulting total allocation of ROM for all BRRs will be combined, and the resulting cost allocation will be monitored if the scope within the annual release plan is updated.

The DDI integrated solution cost allocation methodology will be updated on January 1, 2021, and annually thereafter. Due to the fact that releases are planned 6 months or more in advance, it would not be possible to tie the cost allocation percentages to actuals on a timely basis. All other methodologies will be updated on October 1, 2020.

Duplicated Recipient Count

Beginning Oct 1, 2019, M&O allocation will be based on the duplicated recipient count seen in the table below, which is based on enrollment counts as of April 30, 2019. Vendors allocated in accordance with this allocation are listed in Attachment D.

Table 10c. Duplicated Recipient Count Allocation

M&O Duplicated Recipient Count	FFY2020 - % Allocation					Enrollment			
	Q1 Oct - Dec	Q2 Jan - Mar	Q3 Apr - Jun	Q4 Jul - Sep		Q1 Oct - Dec	Q2 Jan - Mar	Q3 Apr - Jun	Q4 Jul - Sep
Exchange	5.9%	5.9%	5.9%	5.9%	33,005	33,005	33,005	33,005	
Medicaid	52.1%	52.1%	57.4%	57.4%	291,003	291,003	320,361	320,361	
Medicaid - Admin (50%)	0.0%	0.0%	0.0%	0.0%					
CHIP	5.5%	5.5%	0.2%	0.2%	30,702	30,702	1,374	1,374	
TANF	1.6%	1.6%	1.6%	1.6%	8,914	8,914	8,914	8,914	
SNAP	27.2%	27.2%	27.2%	27.2%	151,822	151,822	151,822	151,822	
Childcare	1.6%	1.6%	1.6%	1.6%	9,171	9,171	9,171	9,171	
GPA	0.0%	0.0%	0.0%	0.0%	164	164	164	164	
SSP	6.0%	6.0%	6.0%	6.0%	33,655	33,655	33,655	33,655	
Total	100.0%	100.0%	100.0%	100.0%	558,436	558,436	558,466	558,466	

Medicaid/HSRI/CHIP Allocation (formerly called “Freedman Allocation”)

The budget for Medicaid/HSRI/CHIP Allocation is for costs assigned to Medicaid, including both CHIP and Non-CHIP Medicaid, and to HSRI for the QHP population. Vendors allocated in accordance with this allocation are listed in Attachment D. This allocation is utilized for both DDI and M&O for FFY 2020.

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Table 10d. Medicaid/HSRI/CHIP Allocation

	FFY2020 - % Allocation					Enrollment			
	Q1	Q2	Q3	Q4		Q1	Q2	Q3	Q4
	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep		Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep
Exchange	9.3%	9.3%	9.3%	9.3%		33,005	33,005	33,005	33,005
Medicaid	82.0%	82.0%	90.3%	90.3%		291,033	291,033	320,361	320,361
CHIP	8.7%	8.7%	0.4%	0.4%		30,702	30,702	1,374	1,374
Total	100.0%	100.0%	100.0%	100.0%	100.0%	525,461	525,461	525,461	525,461

All Excluding HSRI Allocation

This allocation is used with the CAM small program/large program allocation method for ROMS, explained previously. Vendors allocated in accordance with this allocation are listed in Attachment D. This allocation is utilized for both DDI and M&O for FFY 2020.

Table 10e. All Excluding HSRI Allocation

	FFY2020 - % Allocation					Enrollment			
	Q1	Q2	Q3	Q4		Q1	Q2	Q3	Q4
	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep		Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep
Medicaid	55.4%	55.4%	61.0%	61.0%		291,033	291,033	320,361	320,361
CHIP	5.8%	5.8%	0.3%	0.3%		30,702	30,702	1,374	1,374
TANF	1.7%	1.7%	1.7%	1.7%		8,914	8,914	8,914	8,914
SNAP	28.9%	28.9%	28.9%	28.9%		151,822	151,822	151,822	151,822
Childcare	1.7%	1.7%	1.7%	1.7%		9,171	9,171	9,171	9,171
GPA	0.0%	0.0%	0.0%	0.0%		164	164	164	164
SSP	6.4%	6.4%	6.4%	6.4%		33,655	33,655	33,655	33,655
Total	100.0%	100.0%	100.0%	100.0%	100.0%	525,461	525,461	525,461	525,461

DHS field staff

Prior to considering DHS field staff time for enhanced funding for inclusion in the IAPD-U budget an assessment is done to determine how staff are spending their time. For staff that work 100% on a program such as Medicaid or SNAP, staff will sign attestations to confirm that 100% of their work has been dedicated to that program. For staff that work on multiple programs, the State is tracking time and working to identify staff who need to time track as work priorities shift to multiple programs. DHS staff who work with clients within the field offices (Economic Services Division) will participate in a RMTS as described below. These values are used for cost allocation of field staff.

The purpose of this RMTS is to measure the level of effort spent on various activities performed by the Eligibility Technicians (ETs), Senior ETs, and Social Caseworkers in the State of Rhode Island. These staff, who are all State employees, perform program eligibility determination activities on behalf of customers served by the Department of Human Services (DHS). Organizationally, ETs, Senior ETs, and Social Caseworkers work within the Economic Services Division of DHS. The RMTS allocation is applied to all DHS Field Staff employees including supervisors, clerical and interpreters who do not work 100% for a specific program. Field staff hours reported as Medicaid or CHIP are then claimed at 75% federal Medicaid.

The RMTS is administered using EasyRMTS™, which is a tool developed by Public Consulting Group, Inc. (PCG). The automated RMTS application was developed to comply with all federal rules and regulations related to cost allocation practices and claiming for reimbursement of federal dollars. The software supports accurate reporting of reimbursable administrative activities, which are generally required by federal approving agencies to be measured through a time study. EasyRMTS™ puts the least administrative burden on staff as possible while allowing users to measure their time and claim appropriately for Federal Financial Participation (FFP). The system allows participants to indicate directly, via a series of survey questions in the software, the activities and programs they are supporting.

Below is a chart that details the RMTS percentages by program for the quarter ending September 30, 2019. As shown, this is the allocation being used for FFY 2020. Enhanced Medicaid match activities claimed at 75% federal share include the following: eligibility determination or redetermination, case updates or changes, case closures or terminations, follow up on conflicts with self-declaration, and performing an ex-parte Medicaid determination for those no longer eligible for MAGI Medicaid.

DHS works with PCG on a continuing basis to review and refine the RMTS process to most accurately assign field staff costs to all DHS programs.

Table 10f. DHS Eligibility Support Allocation - October 1, 2019 – September 30, 2020 (based on actual RMTS study July 1 – September 30, 2019)

Program	CCAP	GPA	RIW Works	SNAP	SSP	Medicaid Enhanced	Medicaid Administration
RMTS %	5.48%	2.62%	4.54%	51.65%	0.10%	26.82%	8.79%

Only the DHS work identified by the RMT study as Medicaid Enhanced is considered as part of this IAPD-U as that is only a portion of the DHS workers time that is considered to be part of the UHIP project. Once it is determined how much of the DHS field staff time is UHIP-related, the total is then split between Medicaid and CHIP using the percentages associated with each program’s duplicated recipient count on April 30, 2019 and updated in this submission to reflect the shift of the CHIP expansion population to Medicaid effective April 1, 2019.

Allocated Medicaid

For staff that work 100% on UHIP Medicaid/CHIP, staff sign attestations to confirm that 100% of their work has been dedicated to that program. The allocation to be used for these State staff beginning Oct 1, 2019 is in the tables below. Vendors allocated in accordance with this allocation are listed in Attachment D.

Table 10g. Allocated Medicaid

	FFY2020 - % Allocation					Enrollment			
	Q1	Q2	Q3	Q4		Q1	Q2	Q3	Q4
	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep		Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep
Medicaid	90.5%	90.5%	99.6%	99.6%		291,033	291,033	320,361	320,361
CHIP	9.5%	9.5%	0.4%	0.4%		30,702	30,702	1,374	1,374
Total	100.0%	100.0%	100.0%	100.0%	525,461	525,461	525,461	525,461	525,461

Medicaid Only Cost Allocation Methodology

The OHHS Long Term Services and Supports Unit supports the eligibility determination for Medicaid applications only. CHIP is not included in this work. Therefore, this expense is allocated 100% to Medicaid only with a 75% Federal Financial Participation (FFP).

Table 10h. Medicaid Only Allocation

	FFY2020 - % Allocation			
	Q1	Q2	Q3	Q4
	Oct - Dec	Jan - Mar	Apr - Jun	Jul - Sep
Medicaid	100.0%	100.0%	100.0%	100.0%
Total	100.0%	100.0%	100.0%	100.0%

AHS – Call Action Methodology

The budget for AHS, which is contracted to operate the contact center, is allocated by the previously approved call-action methodology.

Calls (and visits) to the contact center are categorized by Customer Service Representatives (CSRs) through a “call action”-based reporting system. The CSRs report the major activities they conducted on the call/visit. A call/visit may have more than one activity reported.

To allocate calls to Medicaid vs. HSRI that accurately represent level of effort, Rhode Island groups calls into three major categories:

1. Primarily Medicaid level of effort: These will be cost allocated to Medicaid
2. Equally Split level of effort between Medicaid and QHP: These will be cost allocated 50% to Medicaid and 50% to QHP
3. Primarily QHP level of effort: These will be cost allocated to QHP

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Calls that are unable to be classified will not be cost allocated.

Rhode Island will use an entire calendar year of call data to assign calls according to this proposed methodology. Beginning with FFY 2020, an annual allocation rate will be established for the entire FFY, based on the call activities in the previous time period May 1, 2018 through April 30, 2019. Please see the tables below for the proposed allocation methodology and data for FFY 2020.

Table 10i. Call Action Methodology

Split between Medicaid/CHIP and Exchange	0.0%			
	Q1 Oct - Dec	Q2 Jan - Mar	Q3 Apr - Jun	Q4 Jul - Sep
Medicaid / CHIP	84.1%	84.1%	84.1%	84.1%
Exchange	15.9%	15.9%	15.9%	15.9%
Total	100.0%	100.0%	100.0%	100.0%

Split between Medicaid 75% and Medicaid 50%	0.0%			
	Q1 Oct - Dec	Q2 Jan - Mar	Q3 Apr - Jun	Q4 Jul - Sep
Medicaid 75% Claim Rate	93.2%	93.2%	93.2%	93.2%
Medicaid 50% Claim Rate	6.8%	6.8%	6.8%	6.8%
Total	100.0%	100.0%	100.0%	100.0%

The final FFY 20 allocation for AHS Call Action between the Exchange, Medicaid and CHIP is listed below.

AHS Call Action		
Program	October-March	Beginning April 1st
Exchange	15.90%	15.90%
Medicaid 75%	74.30%	81.80%
Medicaid 50%	1.80%	1.80%
CHIP	8.00%	0.30%
Total	100%	100%

Table 10j. Call Action Data

May 1 2018 through April 30 2019 Call Action Data categorized by cost allocation category						Contact Center BASE Cost Allocation by Medicaid/QHP based on May 2018-April 2019 Calls				
Month	Equally Split	Primarily Medicaid	Primarily QHP	Unclassified	Grand Total	Medicaid/QHP Call Allocation			% Medicaid	% QHP
	Appeal, Benefits, Plan Selection	Medicaid Application /Eligibility	Payment and SHOP			Medicaid	QHP	Total Medicaid /QHP		
May-18	3,137	28,136	3,666	2,083	37,022	29,705	5,235	34,939	85.0%	15.0%
Jun-18	2,724	24,546	3,159	1,872	32,301	25,908	4,521	30,429	85.1%	14.9%
Jul-18	2,887	25,709	3,074	1,915	33,585	27,153	4,518	31,670	85.7%	14.3%
Aug-18	3,137	27,814	3,021	1,941	35,913	29,383	4,590	33,972	86.5%	13.5%
Sep-18	3,914	24,485	3,113	2,317	33,829	26,442	5,070	31,512	83.9%	16.1%
Oct-18	4,783	32,614	4,048	3,240	44,685	35,006	6,440	41,445	84.5%	15.5%
Nov-18	7,208	33,652	4,077	1,491	46,428	37,256	7,681	44,937	82.9%	17.1%
Dec-18	9,502	44,833	8,421	1,864	64,620	49,584	13,172	62,756	79.0%	21.0%
Jan-19	8,540	48,671	7,883	2,095	67,189	52,941	12,153	65,094	81.3%	18.7%
Feb-19	5,368	40,622	4,847	3,304	54,141	43,306	7,531	50,837	85.2%	14.8%
Mar-19	5,553	40,164	4,726	3,359	53,802	42,941	7,503	50,443	85.1%	14.9%
Apr-19	5,600	39,726	4,811	3,706	53,843	42,526	7,611	50,137	84.8%	15.2%
Grand Total	62,353	410,972	54,846	29,187	557,358	442,149	86,023	528,171	84.1%	15.9%

The Medicaid allocated calls will be allocated to the 50% and 75% match rates according to the previously approved methodology.

Table 10k. Medicaid Matching

Medicaid Matching for Medicaid Allocated Calls				Contact Center BASE Claiming Rate by 75% vs 50% based on May 2018-April 2019 Calls	
	Primarily Medicaid	Medicaid portion of Equally Split			
Month	75% Match	50% Match	Total Medicaid Allocated	% at 75%	% at 50%
May-18	28,136	1,569	29,705	94.7%	5.3%
Jun-18	24,546	1,362	25,908	94.7%	5.3%
Jul-18	25,709	1,444	27,153	94.7%	5.3%
Aug-18	27,814	1,569	29,383	94.7%	5.3%
Sep-18	24,485	1,957	26,442	92.6%	7.4%
Oct-18	32,614	2,392	35,006	93.2%	6.8%
Nov-18	33,652	3,604	37,256	90.3%	9.7%
Dec-18	44,833	4,751	49,584	90.4%	9.6%
Jan-19	48,671	4,270	52,941	91.9%	8.1%
Feb-19	40,622	2,684	43,306	93.8%	6.2%
Mar-19	40,164	2,777	42,941	93.5%	6.5%
Apr-19	39,726	2,800	42,526	93.4%	6.6%
Grand Total	410,972	31,177	442,149	93.2%	6.8%

Attachment D provides a breakdown of every FFY 2020 budget line item attributed to one of the allocation methodologies described above.

11-Security, Interface, Disaster Recovery, and Business Continuity Planning

The State is continuing efforts to advance the UHIP security maturity model in FFY 2020 and FFY 2021. The following themes have been prioritized to improve security and support compliance with MARS-E2 controls.

- Security Monitoring Enhancement
- Automated Scanning Management
- Intrusion Detection and Prevention
- Asset and Services Monitoring
- Data Masking Enhancement
- PKI – Certificate Management
- Static Code Scanning for Developers

Document Management

IBM Qradar provides the monitoring of security events in the UHIP system. Enhanced bandwidth of this tool will provide a platform that will support more network flows and components to automate security scans and risk management.

The UHIP system has sensitive personally identifiable information (PII) data as well as federal tax information (FTI) data flowing through a subset of servers. These internal servers will be secured with host-based intrusion detection to meet IRS requirements. Additional monitoring will detect changes to software components, services and open ports.

An Oracle data masking algorithm is used on non-production environments to de-identify sensitive information in the system. A data masking tool will enhance the efficiency of this effort and decrease privacy risk by increasing the scope of the de-identified data fields.

HP Fortify is currently used to perform static code scanning on each code release. The capability to scan code as it is checked in by the developer will mature the secure SDLC process by providing immediate feedback on code quality and security to the developers. Corrections will be made prior to production release.

A document management and workflow tool will be needed to track changes and provide a secure location for the copy of record for technical documents that are needed for security and technical staff to support the system.

12-Condition and Standards

The State worked to incorporate Medicaid Information Technology Architecture (MITA) and Medicaid Eligibility & Enrollment Toolkit/Lifecycle (MEET/LC) into its planning and decision-making. Through the MITA effort, the State's vendor, CSG, completed Rhode Island's portion of a three-State collaborative effort in April 2018, culminating in the MITA State Self-Assessment 3.0.

A separate, related effort was completed by CSG, at the request of Rhode Island's Executive Office of Health & Human Services; it focused on the impact of RIBridges on MITA maturity levels.

As requirements arise per CMS, the State will work with CMS to develop a project partnership understanding and identify the UHIP's correct placement in the Eligibility and Enrollment Lifecycle and establish checklist and gate-based monitoring as appropriate.

13-IAPD Federal Assurances

The State should indicate by checking "Yes" or "No" whether or not it will comply with the Code of Federal Regulations (CFR) and the State Medicaid Manual (SMM) citations.

The State should provide an explanation for any “No” responses.

Procurement Standards (Competition / Sole Source)

SMM, Part 11 Yes No

45 CFR Part 95.613 Yes No

45 CFR 75, Subpart D, Subject Group 26 Yes No

Access to Records, Reporting and Agency Attestations

42 CFR Part 433.112(b)(5) – (22) Yes No

45 CFR Part 95.615 Yes No

SMM Section 11267 Yes No

Software & Ownership Rights, Federal Licenses, Information Safeguarding, HIPAA Compliance, and Progress Reports

45 CFR Part 95.617 Yes No

42 CFR Part 431.300 Yes No

45 CFR Part 164 Yes No

Independent Verification and Validation (IV&V)

45 CFR Part 95.626 Yes No